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Modalities of the second review and appraisal of the Madrid International Plan of Action on Ageing, 2002

Report of the Secretary-General

Summary

The present report, which is submitted in response to Economic and Social Council resolution 2010/14, gives an overview of the modalities of the first review and appraisal of the Madrid International Plan of Action on Ageing, 2002, that will be used for the second review and appraisal, as well as a preliminary indication of the United Nations system and civil society plans. The report also highlights lessons learned and issues which need more attention in the second appraisal exercise.

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I. Introduction

1. The Madrid International Plan of Action on Ageing, 2002, adopted by the Second World Assembly on Ageing, stated that systematic review of its implementation by Member States was essential for achieving improved quality of life of older persons and that the Commission for Social Development should be responsible for the follow-up and appraisal of its implementation.[1]

2. The present report has been prepared to facilitate discussions concerning the organization of the second review and appraisal of the Madrid Plan of Action at the Commission for Social Development, as requested in Economic and Social Council resolution 2010/14. Issues identified in resolution 2010/14, which relate to recent efforts by Member States and the United Nations system to participate in the implementation of the Madrid Plan of Action, are addressed in the report of the Secretary-General entitled "Follow-up to the Second World Assembly on Ageing", submitted to the General Assembly at its sixty-fifth session (A/65/158).

3. While the principal approach to the review and appraisal of the Madrid Plan of Action has been defined in resolutions 42/1, 44/1 and 45/1 of the Commission for Social Development, further details are required on the modalities of the second review and appraisal cycle. Consequently, this report presents Member States with possible arrangements and a timeline. It also raises issues to be brought to the attention of Member States, taking into account lessons learned during the first review and appraisal process. Furthermore, the report outlines the initial plans of the United Nations system and civil society organizations in support of the review and appraisal process.

4. The modalities of the first review and appraisal exercise are summarized in the following section.

II. Process and modalities of the first review and appraisal of the Madrid International Plan of Action on Ageing, 2002, and their continuing relevance for the second review and appraisal exercise

5. In its resolution 42/1 on the modalities for the review and appraisal of the Madrid Plan of Action, the Commission for Social Development encouraged Member States to establish or strengthen national coordinating bodies or mechanisms to facilitate the implementation and dissemination of information about the Madrid Plan of Action, including its review and appraisal. The Commission also encouraged Member States to include both ageing-specific policies and ageing-mainstreaming efforts in their review and appraisal of the Madrid Plan of Action and in their national strategies, bearing in mind the importance of mainstreaming the issue of ageing into global agendas.

6. In the same resolution, the Commission decided to undertake a review and appraisal of the Madrid Plan of Action every five years. Additionally, the regional commissions were requested to promote and facilitate the implementation, review,

[1] *Report of the Second World Assembly on Ageing, Madrid, 8-12 April 2002* (United Nations publication, Sales No. E.02.IV.4), chap. I, resolution 1, annex II, paras. 131 and 132.

appraisal, and dissemination of the Madrid Plan of Action at the regional level. The Commission also requested relevant bodies of the United Nations system to actively support national review and appraisal efforts by providing technical assistance for capacity-building, including for the development of modalities for disaggregating population data and statistics by age and sex.

7. The Economic and Social Council, in its resolution 2003/14, invited Governments, the United Nations system and civil society to participate in a bottom-up approach to the review and appraisal of the Madrid Plan of Action. This approach entails the gathering of information through the sharing of ideas, data collection, and best practices, and is designed to ensure that the review and appraisal, when carried out in each country, begins at the local levels where issues arise. The process would involve open-ended dialogues, meetings and forums with various stakeholders at local levels both in and outside of government, and in partnership and coordination with national actors. The findings of these local review processes would be consolidated at the national and then regional levels.

8. In resolution 44/1, the Commission for Social Development decided on a calendar for the first review and appraisal cycle and requested the Secretariat to coordinate efforts in identifying support that could be provided to Governments in undertaking participatory review and appraisal of the Madrid Plan of Action. The regional commissions were requested to identify appropriate modalities for the regional review and appraisal process and were encouraged to convene regional review and appraisal activities.

9. In its resolution 45/1, the Commission for Social Development called upon Governments to promote the bottom-up participatory approach throughout the entire implementation process of the Madrid Plan of Action, and to undertake national review and appraisal exercises of specific identified areas by using the participatory, bottom-up approach. In addition, the regional commissions were requested to forward their findings of the first review and appraisal, along with identified priorities for future action to the Commission for Social Development.

10. In its resolution 2010/14, the Economic and Social Council endorsed the theme "Full implementation of the Madrid International Plan of Action on Ageing: social situation, well-being and dignity, development and the full realization of all human rights for older persons" for the second review and appraisal exercise, and also decided that the Commission for Social Development would conduct the global segment of the second review and appraisal at its fifty-first session in 2013.

11. The Economic and Social Council further decided that the procedure of the second review and appraisal of the Madrid Plan would follow the set procedure of the first review and appraisal exercise, and would include preparatory activities at the national and regional levels, including those conducted by the Regional Commissions that conclude in 2012. However, Member States are free to utilize an optional open method of coordination for the review and appraisal, as presented to the forty-eighth session of the Commission.[2]

12. Furthermore, in a note verbale of 2009, Member States and Permanent Observers were invited, inter alia, to provide views on the procedure for the future review and appraisal process which was reported to the forty-eighth session of the

[2] E/CN.5/2010/4.

Commission.[3] Fifty-five Member States responded to this request, out of which twenty Member States supported an open method of coordination. This methodology was supported, in particular, by the Member States of the ECE region.

13. Combining the procedure followed for the first review and appraisal with the open method of coordination, a balance between a narrative, bottom-up participatory approach and an approach favouring the collection of quantitative data could be provided. The *Guidelines for review and appraisal of the Madrid International Plan of Action on Ageing — Bottom-up participating approach* and the *Guide to the National Implementation of the Madrid International Plan of Action on Ageing* serve as blueprints for this method of policy evaluation, including for the selection of indicators.[4]

14. Therefore, all modalities that apply to the second review and appraisal of the implementation of the Madrid Plan of Action on Ageing, 2002, with exception of a calendar of events, have been addressed in various resolutions and reports.

III. Preliminary list and timeline of initiatives of the United Nations system and civil society in preparation for the second review and appraisal of the Madrid Plan of Action

15. The Economic Commission for Africa (ECA) looks forward to undertaking a regional review and appraisal process, with country-level ownership of the process, in partnership with the African Union, the United Nations Population Fund (UNFPA), the Department of Economic and Social Affairs, as well as with the Economic and Social Commission for Western Asia (ESCWA), in the case of its North African States. The African research network on ageing and civil society organizations, such as HelpAge International, will also be invited to contribute to the process.

16. The ECA secretariat will issue a concept note and guidelines for the preparation of country reports as well as a questionnaire under the guidance of a steering committee. It is hoped that the process would lead to establishing a regional knowledge, data and information database on ageing in Africa. A regional "Madrid plus 10" conference or expert group meeting, supported by various partners, is envisaged for March 2012.

17. The modalities of the second cycle of the review and appraisal of the implementation of the Economic Commission for Europe Regional Implementation Strategy for the Madrid International Plan of Action on Ageing are outlined in a report prepared by the Working Group on Ageing of the Commission for its third meeting, held in Geneva on 22 and 23 November 2010.[5] The Working Group, consisting of Member States from the region, was established following the adoption in September 2002 of the Economic Commission for Europe (ECE) Regional Implementation Strategy to provide ongoing impetus to the implementation of the Strategy.

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[3] E/CN.5/2010/4.

[4] Available from www.un.org/ageing/research_papers.html.

[5] ECE/WG.1/2010/5.

18. The proposal put forward by the Working Group calls for local and national review and appraisal information to be submitted to the ECE secretariat in time for the preparation of a regional assessment in 2012. The ECE secretariat will issue guidelines for preparing national reports and reporting on the findings.

19. Subject to the initiative of member States of the Commission and the availability of resources, the regional assessment could be conducted within the framework of a regional ministerial conference, to be held in early 2012. The conference would also adopt priorities for furthering the implementation of the Regional Implementation Strategy and the Madrid Plan of Action and for assisting member States.

20. The Economic Commission for Latin America and the Caribbean (ECLAC) plans to organize a regional review and appraisal conference with the support of UNFPA in the first quarter of 2012. The Economic Commission for Latin America and the Caribbean (ECLAC) secretariat will disseminate guidelines for the preparation of national reports in early 2011.

21. The Economic and Social Commission for Asia and the Pacific (ESCAP) plans to launch the second regional review and appraisal by disseminating a regional survey and questionnaire to member States in early 2011. Survey results will then be collected and reviewed along with country reports. By mid-2011, a draft report will be prepared to provide an analysis of the main findings, identify key priority action areas and good practices and suggest policy responses.

22. A preparatory regional body, to be set up, will meet in the last quarter of 2011 to review the report and draft recommendations for the high-level intergovernmental meeting on the Second Regional Review and Appraisal, scheduled to be held in early 2012. The outcome of the high-level intergovernmental meeting will be submitted to ESCAP at its sixty-eighth session for adoption in April-May 2012.[6]

23. The ESCWA secretariat will issue a social policy brief on ageing which will address the challenges and opportunities of member States in mainstreaming ageing as part of a social equity approach to social development. The brief will also provide the background to a regional seminar on the ten-year review and appraisal of the Madrid Plan of Action to be held in 2011. It is hoped that this process will stimulate those member States which have not yet done so to formulate relevant policies and mainstream ageing issues into the development planning process.

24. In the event that additional resources become available, ESCWA envisions conducting a regional inquiry to identify obstacles to the implementation of the Madrid Plan of Action. The regional inquiry would support the production of a regional evidence-based assessment report, which would further lead to a proposal for a capacity-building programme to assist Arab countries in implementing the Madrid Plan of Action.

[6] In addition, ESCAP held a Seminar on Health Promotion and Active Ageing in November 2010 and is planning to organize a regional forum on developing institutional capacity in the delivery of elder care services in 2011.

IV. Lessons learned for the second review and appraisal of the Madrid Plan of Action

25. The first review and appraisal of the Madrid International Plan of Action on Ageing, 2002, produced more than seventy country reports, from all regions, that emanated from regional review and appraisal activities, as well as a number of global reports[7] which addressed major developments since the Second World Assembly on Ageing was convened. However, in the wake of the first review and appraisal of the Madrid Plan of Action, certain shortcomings in the process became apparent, which could point to potential challenges during the second review and appraisal.

A. Lack of capacity in qualitative and quantitative data collection

26. Resource constraints and capacity shortcomings at two regional commissions and also within a number of Member States made a comprehensive assessment of progress achieved since 2002 a challenging endeavour. In regions where demographic ageing is more advanced, there was a greater interest in the review and appraisal process as well as more resource availability by both member States and regional commissions, which lead to broader and more multi-layered information about the lives of older persons in these regions. Additionally, the review and appraisal process was facilitated by the availability of quantitative and qualitative data on the lives of older persons in these countries. In contrast, the participation of the majority of member States with a younger demographic profile, which usually correlated with a greater array of development challenges, remained limited. Five years after the completion of the first review and appraisal, these challenges still persist and may raise similar difficulties during the second review and appraisal cycle.

27. The participatory, bottom-up approach was utilized as a major assessment tool in a limited number of countries.[4] A few countries in the ECE region and approximately half of the member States of ECLAC used this assessment method. In addition, it was reported by ESCAP that nearly half of the countries surveyed reported carrying out analysis using participatory tools such as client satisfaction surveys and focus group research.[8] Experience shows that training in both the methodology and benefits of participatory assessment is an important factor in this assessment method being pursued with success. There is scope for the United Nations system and civil society organizations to provide more support in this area

28. The bottom-up approach largely rests on the participation of older persons and their organizations in the review and appraisal process. During the first review and appraisal, this participation remained limited in some regions, where only a few countries actively sought collaboration with civil society organizations in preparing their national reviews and appraisals.

29. In 2010, UNFPA, in collaboration with HelpAge International, launched a three-month global review on the status and availability of data, research, policy and institutional arrangements in relation to the provisions of the Madrid Plan of Action.

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[7] E/CN.5/2007/7 and Corr.1, E/CN.5/2008/7 and Corr.1, and E/CN.5/2008/2.

[8] E/CN.5/2008/7 and Corr.1.

A global report will be issued consisting of national and regional overviews and a number of country case studies. UNFPA and HelpAge International, in collaboration with other entities of the United Nations system, are also developing a two-year programme of work aimed at strengthening the capacity of national governments to monitor and assess progress and identify gaps and challenges in the implementation of the Madrid Plan of Action. This programme also aims at building global knowledge of the challenges and opportunities in addressing the situation of older persons as part of national development strategies and will result in a publication on the state of the world's older people in 2012.

30. In December 2010, UNFPA organized, in co-sponsorship with the Department of Economic and Social Affairs, an expert group meeting on collecting data to monitor progress towards implementation of the Madrid Plan of Action. The meeting reviewed and recommended a minimum set of indicators that all countries could produce and use to monitor the implementation of the Plan of Action. UNFPA also plans to prepare guidelines and roll out training on the collection of data using this minimum set of indicators.

31. Related to this initiative, the Division for Social Policy and Development of the Department of Economic and Social Affairs has provided technical expertise to Armenia, Kazakhstan, the Republic of Moldova and Tajikistan, with financial support from UNFPA, to design and complete comprehensive quantitative and qualitative surveys on the situation of older persons. Household surveys have collected information on the health, lifestyle, welfare, working capacity and financial situation of older persons in these countries. Qualitative information has been collected on perceptions of ageing, quality of life and psychological issues. It is envisaged that the survey methodology will shortly be adapted and available for use by other Member States.

32. As the United Nations system works to expand such quantitative and qualitative data collection at the national level in developing and transition countries, more Member States will be in a position to provide in-depth national reports for review and appraisal. However, more needs to be done by Member States, with the assistance of national, regional and global research institutes and organizations as well as the United Nations system.

B. Participation of civil society

33. Some civil society organizations are well aware of the lack of capacity of their local constituencies to participate in the process and are already taking steps towards building such capacity. HelpAge International, for example, has started informing network members and partners in all regions of the process and will provide them with assistance in formulating activities designed to ensure that the voices of older persons are part of the review process at the national and regional levels.

34. Concrete plans are under way in several countries of Latin America and the Caribbean, Asia and the Pacific, and Africa. For example, in November 2010, the first ever regional network meeting of older persons' associations took place in Viet Nam to consider how they can participate in the processes leading up to 2012. In Mozambique, a national consultation will be organized within the framework of the

review of both the national plan of action for older persons and the Madrid Plan of Action.

35. HelpAge International is also building upon an ongoing initiative called "Age Demands Action" which brings the voices of older persons to policymakers and the general public. This initiative, which started three years ago in 23 countries, has now spread to 50 countries.

36. The involvement of civil society in the review and appraisal of the Madrid Plan of Action is critical on two levels. Firstly, it brings the voice of older persons into the process and contributes to the empowerment of older persons as active citizens. Secondly, in countries where capacity for data collection, research and information on the social situation and rights of older persons is limited, it provides an alternate source of information and knowledge critical to the review and appraisal process. Provisions for holding civil society forums in all regions, as part of the regional review and appraisal process should be made. This should also be considered at the national level with older persons and/or representatives of older persons from various areas of a country, who could bring the views of older persons to the national level.

37. At the regional level, ECE organized a civil society forum that preceded the ministerial regional conference of member States. Civil society was also represented at technical meetings. The ECLAC regional conference saw active civil society participation through civil society organizations in Latin America and the Caribbean in a regional forum on ageing. Non-governmental organizations active in the ESCAP region made presentations at the high-level review meeting. This practice should continue and/or be instituted and expanded.

38. Overall, civil society organizations were often either not given the opportunity to participate or had limited capacity to participate in the bottom-up review and appraisal process in many countries. In order to prevent a similar situation from occurring during the second review and appraisal process, concerted efforts are required by Member States, the United Nations system and civil society organizations. Regional commissions and civil society organizations are being requested to generate more information on the second review and appraisal process and highlight the participatory bottom-up approach to Member States and national and regional organizations. The Department of Economic and Social Affairs will update its website to highlight the review and appraisal process with a focus on the participatory approach and civil society.

V. Proposed calendar for the second review and appraisal of the Madrid Plan of Action

39. A step-by-step calendar of planned events, starting in 2011 at the national and regional levels and leading up to the global segment at the fifty-first session of the Commission for Social Development in 2013, is a helpful tool for Member States while organizing the second review and appraisal of the Madrid Plan of Action.

40. The participatory review and appraisal process was conceived as an ongoing national evaluation process that would also report to regional and global levels. While the review and appraisal exercise is not time-bound, it is important to set the target year for consolidating the findings at the global level. The target year of 2012

is important as it will mark the tenth anniversary of the Second World Assembly on Ageing convened in Madrid and, since there has not been a regional or a global review on ageing since 2007, it will also close a five-year gap in assessing the situation of the world's older persons and international action on ageing.

41. At the same time, however, a great deal of preparatory work remains to be done, at all levels, to make the bottom-up participatory review and appraisal more meaningful and successful compared to the first review and appraisal of the Madrid Plan. Therefore, a series of activities is proposed in the calendar that follows, highlighted by a global review and appraisal of the implementation of the Madrid Plan of Action during the fifty-first session of the Commission for Social Development in 2013. The tentative calendar for the second cycle of the global review and appraisal of the Madrid Plan of Action is set out below.

2011

42. As a first step, Member States would identify specific areas for in-depth participatory inquiries using the bottom-up approach and collect information about the actions they have taken since the first review and appraisal, such as new laws, policies and programmes, the establishment of coordinating mechanisms and information campaigns.

43. Information on the initial experience and good practices in organizing and conducting bottom-up participatory evaluation at the local and national levels will also be collected, analysed and presented later to the regional commissions. Upon request, the regional commissions, in cooperation with other entities, will assist countries in conducting their national review and appraisals and encourage participatory approaches to the process.

2012

44. Regional processes of review and appraisal will begin. Regional commissions will convene regional conferences in early to mid-2012, subject to the availability of sufficient financial resources, to consider the findings of national reviews, share experiences and good practices and identify priorities for future action. The regional commissions will submit the conclusions of the meetings and individual national reports to the Commission for Social Development in 2013.

2013

45. The Commission for Social Development, at its fifty-first session in February 2013, will conduct the global segment of the second cycle of review and appraisal of the Madrid Plan of Action. The modalities of this segment could include a series of plenary meetings, deliberations or a series of round tables. This would provide opportunities for assessing progress in the implementation of the Madrid Plan of Action at the national and regional levels, identifying achievements and obstacles in the implementation process, exchanging experiences and good practices, analysing international cooperation on ageing and selecting priorities for the next cycle of the implementation process. Participants could include representatives of Member States, United Nations system organizations and representatives of civil society. An outcome document would include the conclusions of the second review and appraisal exercise along with the identification of prevalent and emerging issues and

related policy options. Member States may wish to consider these and other options before making a final decision on the final format of the global segment for 2013.

VI. Recommendations

46. **The Commission for Social Development may wish to endorse the proposed calendar for the second cycle of review and appraisal of the Madrid Plan of Action. It may also wish to invite Governments to undertake an initial identification of the actions they have taken since the first review and appraisal exercise, with the aim of presenting this information to the Commission at its fiftieth session in 2012, so that each country may establish for itself the action or activity it intends to review utilizing a bottom-up participatory approach.**

47. **In addition, the Commission may wish to request Governments to establish or strengthen a national coordinating body or mechanism, which would include the lead agency, to facilitate the implementation of the Madrid International Plan of Action on Ageing, 2002, including its review and appraisal.**

48. **The Commission may wish to encourage Member States to utilize more fully, within their specific national circumstances, the bottom-up participatory approach to review and appraisal.**

49. **The Commission may further encourage Member States, if they so desire, to utilize the open method of coordination during their national review and appraisal exercise.**

50. **The Commission may wish to encourage the regional commissions to continue to facilitate, including through their intergovernmental bodies, the review and appraisal exercise at the regional level by:**

(a) **Promoting networking and the sharing of information and experiences;**

(b) **Assisting and providing advice to Governments in the gathering, distillation and analysis of information, as well as in the presentation of the findings of national reviews and appraisals;**

(c) **Developing a regional analysis and defining priorities for future policy action.**

51. **The Commission may decide to request the United Nations system to support national efforts for review and appraisal by providing, upon request, technical assistance for capacity-building.**

52. **The Commission may also wish to encourage Member States and United Nations organizations, where appropriate, to provide support to regional commissions in facilitating the review and appraisal process and organizing regional conferences to review national review and appraisal results in 2012.**

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Emerging issues: social protection

Note by the Secretariat

I. Introduction

1. In its resolution 2006/18 of 26 July 2006, the Economic and Social Council decided to include the item entitled "Emerging issues" in the programme of work of the Commission for Social Development. The Bureau of the forty-ninth session of the Commission, in consultation with the respective regional groups, decided that the theme for discussion under this agenda item would be social protection in the context of the global financial and economic crisis.

2. The present note, which has been prepared by the Secretariat to provide background information and facilitate the deliberations of the Commission, highlights the importance of social protection and its affordability, and discusses the impact of the crisis on social protection programmes. The note also proposes some questions for inclusion in the discussion.

II. The need for social protection

3. Social protection measures act as cushions for individuals and families against economic shocks and other life contingencies, and enhance their capacity to manage and overcome the challenges that affect their well-being. These measures are therefore essential to reducing vulnerability, preventing the deterioration of living conditions and facilitating livelihood regeneration. During economic crises, social protection systems perform an important role as social and economic stabilizers. They prevent students from dropping out of school and the rise in malnutrition and thereby help prevent deterioration of human and social capital.

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4. The process of globalization and the effects of international competition have brought increased economic insecurity and new forms of vulnerability as entire economies, and with them individuals, have had to adapt to often rapid national and global adjustment processes. The demand for labour has become increasingly volatile, and the number of atypical, temporary, part-time jobs (mostly in the informal sector) has grown. As the current crisis proves, social protection is increasingly needed in the context of economic insecurity.

5. Climate change poses multiple threats to economic growth, wider poverty reduction, and the achievement of the Millennium Development Goals. These threats arise from the increased frequency and severity of natural disasters, increased crop failures and food insecurity, deterioration of ecosystems and the related incidence of disease. The poor are likely to be hit hardest by climate change, while they have the least capacity to respond to its impact. There is a growing recognition of the potential role of social protection as a response to the multiple risks and short- and long-term shocks associated with climate change. It has been argued that social protection could become one of the priority sectors for adaptation in developing countries.[1]

6. Public social protection encompasses three main sets of measures: social insurance; social assistance, including universal tax-financed transfers; and protective labour-market regulations. Social insurance programmes, which are contribution-financed transfers of income in cash or in kind (that is to say, entitlements are conditional on the payment of contributions), provide protection against the financial consequences of unemployment, sickness, old age, disability, maternity and other life cycle and work-related contingencies. Social assistance consists of schemes that provide income transfers in cash or in kind to all those living in poverty or to selected groups within the population (often children and older persons). Labour and employment regulations ensure basic standards for decent and productive work.

7. Familial and other informal social protection mechanisms remain important in low-income countries, but their effectiveness is undermined by a weak resource base and by current trends in respect of urbanization and ageing, changes in family structure and insufficient protections in case of shocks that affect whole communities. At the same time, the reach of formal social protection systems is still limited in many low-income countries. The International Labour Organization (ILO) has estimated that only about 20 per cent of the working-age population and their families have access to comprehensive social protection systems.[2]

8. The development of social insurance programmes, in particular, has been uneven in developing countries. Where they do exist, unemployment benefits, old-age pensions and other benefits cover only certain categories of workers in the formal sector, leaving those in the informal economy with no protection at all. Only about 25 per cent of the labour force worldwide is contributing to or accruing pension rights and less than 20 per cent of older persons are covered.[3] In

[1] See Nicholas Stern, "Key elements of a global deal on climate change" (London, London School of Economics and Political Science, 2008).

[2] International Labour Organization, *World Social Security Report 2010/11: Providing Coverage in Times of Crisis and Beyond* (Geneva, International Labour Office, 2010).

[3] K. Holzmann, D. A. Robalino and N. Takayama, eds., *Closing the Coverage Gap: The Role of Social Pensions and other Retirement Income Transfers* (Washington, D.C., World Bank, 2009).

sub-Saharan Africa, only some middle-income countries such as Botswana, Mauritius, Namibia and South Africa and, more recently, Swaziland and Lesotho, have introduced social pension schemes at the national level and their coverage, except for those of Mauritius, is very low. On average, public expenditure on pensions represents less than 1 per cent of gross domestic product (GDP) in sub-Saharan Africa, as compared with over 10 per cent of GDP, on average, in developed countries.[4]

9. In contrast, social assistance aimed at alleviating poverty and preventing social exclusion has become a key component of social protection in developing countries where the incidence of labour-market informality is high and public service provision is limited. Programmes where cash transfers are conditional on education and other human capital investments, such as *Bolsa Família* in Brazil, *Oportunidades* in Mexico, and *Familias en Acción* in Colombia, as well as those where transfers are conditional on work, as under the National Employment Guarantee Act in India, and in the Productive Safety Net Programme in Ethiopia, first introduced locally, are now widespread and cover significant proportions of the population in several countries of Asia and Latin America. *Bolsa Família*, for instance, had about 50 million beneficiaries (11.1 million families) in 2009. Unconditional cash transfer initiatives, be they categorical, like the Child Support Grant, in South Africa; means-tested, like the Benazir Income Support Scheme in Pakistan; or universal, like the Kalomo Pilot Social Cash Transfer Scheme in Zambia, have also gained ground in the last two decades.

10. Many of these social assistance programmes increasingly support access to social services (health care and education) and income-generation opportunities. Therefore, the availability of such services, and their capacity to cope with increasing demand, are critical to the success of programmes in promoting social integration and reducing poverty. Some developing countries have made strong gains towards universal provision of health and education. This is the case for Costa Rica, Brazil and Botswana, which has one of the most developed social service systems in Africa. However, social service provision remains fragmented and exclusionary in a large number of countries.

11. In the main, countries that have successfully reduced income poverty and improved social conditions on a broad scale have developed comprehensive rights-based social protection policies covering a majority of the population. While the impact of social protection programmes varies according to their design and level of implementation, evidence from across the world, including from high-income countries, shows their potential to reduce poverty and inequality and stimulate economic growth. For countries at a given income level, higher levels of expenditure on social protection are correlated with lower poverty levels.[5] ILO estimates that non-pension cash transfers reduce the risk of falling into poverty by more than 20 per cent in most of the European Union region, and even by more than 50 per cent in countries such as Denmark, Finland, France, Hungary, the

[4] World Bank, Social Protection and Labour Sector, personal communication.

[5] Armando Barrientos, "Social protection and poverty reduction" (2008), background paper commissioned for United Nations Research Institute for Social Development, *Combating Poverty and Inequality: Structural Change, Social Policy and Politics* (United Nations publication, Sales No. E.10.IV.Y.1).

Netherlands and Sweden.[6] It has also shown that the Gini coefficient declines significantly, even by more than 10 percentage points, in Belgium, the Czech Republic, Denmark and Sweden, as a result of such transfers.[7] The World Bank estimates that social protection could cut transient poverty by half, thus reducing the total poverty headcount by at least 5-10 per cent.[8] In Mexico, *Progresa* (now *Oportunidades*) may have led to a 36 per cent decline in poverty rates among its beneficiaries.[9] Brazil identifies the expansion of *Bolsa Família*, together with an increase in the minimum wage, as the reason for its having met the Millennium Development Goal target ahead of schedule.[10]

12. In developing countries, much of the existing evidence points to increases in labour-force participation and improvements in the productive capacity of beneficiaries of well-designed social protection schemes.[11] Insofar as they help poor men and women manage trade-offs between meeting their immediate needs and securing future livelihoods, social protection measures also encourage capital accumulation and investment, ease access to credit and help households manage risk. By promoting children's access to health care and school enrolment and attendance, social assistance programmes also help break the intergenerational transmission of poverty. Therefore, if properly designed and implemented, social protection programmes promote inclusive and equitable economic growth and stimulate demand.

13. In order for social protection schemes to effectively stimulate labour-force participation, investment and economic growth, they must ensure that social transfers are regular and reliable; they should be combined with programmes that ensure the availability and quality of social services; and they should avoid the exclusion of groups that most require support. For instance, measures in place often fail to take into account the particular requirements of women and female-headed households. In this regard, forms of protection tied to employment status tend to place women at a disadvantage inasmuch as a large portion of women's economic activity is unpaid, and their participation in the labour market is more intermittent than men's.

14. Over the last three decades, social protection schemes have frequently given way to social safety nets, that is, targeted sets of non-contributory, often transitory transfers. Targeting focuses on eligibility and hence involves means-testing to determine who can be a beneficiary, which means that only a small group of the population qualifies for transfers at any given time, and only a proportion of that

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[6] *World Social Security Report 2010/11*, pp. 107-108 and figure 8.9.

[7] Ibid.

[8] World Bank, Social Protection Advisory Service, "The Contribution of Social Protection to the Millennium Development Goals" (Washington, D.C., 2003), p. 8.

[9] Rolf Künnemann and Ralf Leonhard, "A human rights view of social cash transfers for achieving the Millennium Development Goals" (Stuttgart, Germany, Brot für die Welt, 2008).

[10] *Objetivos de Desenvolvimento do Milenio: Relatório Nacional De Acompanhamento* (Brasília Instituto de Pesquisa Economica Aplicada e Secretaria de Planejamento e Investimentos, 2007), p. 26.

[11] For a review of the impact of social protection on economic growth, see: Organization for Economic Cooperation and Development, "Promoting pro-poor growth: employment and social protection" (Paris, 2009); and A. Barrientos and J. Scott, *Social Transfers and Growth: A Review*, Brooks World Poverty Institute Working Paper, No. 52 (Manchester, United Kingdom, 2008).

group actually receive a benefit. The effectiveness and legitimacy of targeting specific groups have been questioned. Targeting requires strong administrative capacity and can lead to significant errors of inclusion and exclusion and under-coverage, especially where informality and poverty are widespread. Moreover, since poverty is not a condition particular to a fixed group of individuals, but rather one that everyone at risk may experience at some point, focusing attention on a specific group of individuals ignores the dynamic nature of poverty, unemployment and other life cycle and work-related circumstances. A social safety net approach usually does not focus on the prevention of poverty through investments in the resilience of people living at or near the poverty line. The World Health Organization (WHO), for example, estimates that about 100 million vulnerable people fall into poverty annually owing to the need to finance the cost of health care. This could be avoided if vulnerability was reduced by universal health protection schemes (like the Universal Healthcare Coverage Scheme available in Thailand since 2002).

15. Initially, ensuring that all persons are protected against risks may require special targeted measures designed, as a matter of priority, to reach the most vulnerable. However, the right to social security calls for a progressive move towards universal social protection so as to ensure the basic well-being of all individuals — those experiencing hardship and those at risk of experiencing it — regardless of where they work and live, and of the state of the economy.

III. Social protection and the financial and economic crisis

16. The social consequences of economic crises have been most severe in countries where social protection systems were weakest. At the onset of the current financial and economic crisis, many developing countries made efforts to address its social consequences despite increasing fiscal constraints. In a study of 35 countries, the United Nations Development Programme (UNDP) observed that Governments spent 25 per cent of fiscal stimulus package funds, on average, on discretionary social protection schemes aimed at stimulating employment generation, supporting access to education and health services and providing affordable housing.[12]

17. Some developing countries, especially in Asia and Latin America and the Caribbean, were able to adopt mitigation measures and increase social spending because they had maintained a solid financial footing during the period of economic expansion that preceded the crisis, avoiding large current-account deficits and improving debt ratios. In addition, earlier economic crises had led to the recognition that creating employment, supporting workers through effective income replacement schemes in case of unemployment or underemployment, and improving access to social services are necessary for maintaining or restoring aggregate demand and essential in moving towards a more sustained, sustainable and inclusive path of economic growth.

18. While these discretionary measures are relevant to addressing short-term needs, most of them leave their beneficiaries just as vulnerable to future shocks. Stronger and permanent social protection systems, when in place, play a much larger

[12] Y. Zhang, N. Thelen and A. Rao, "Social protection in fiscal stimulus packages: some evidence", United Nations Development Programme/Office of Development Studies Working Paper (New York, United Nations Development Programme, March 2010).

role in reducing the prevalence of poverty, since they provide basic income security at all times, thereby enhancing the capacity of men and women to manage and overcome shocks and reduce their vulnerability. Investments in building and expanding social protection systems across Latin America and the Caribbean since 2000, for instance, have cushioned the fallout from the crisis in the region, helping households to cope with and compensate for the contraction.[13] However, the ability of many other developing countries to expand social protection has been constrained by a lack of existing mechanisms on which to build. Few of the measures announced by these countries suggest that the crisis is being utilized as an opportunity to review the inadequacy of social protection systems and establish the basic building blocks of a social security system.

19. In addition, if discretionary measures put in place at the onset of the crisis are withdrawn before broad-based recovery in economic and employment growth, their primary beneficiaries may very well fall back into joblessness and poverty. Governments in a number of European countries have already moved from fiscal stimulus to austerity and have reduced social spending, cut jobs and increased taxes, as rising public debt has generated political and financial stress. The austerity budget in Ireland, for instance, includes cuts of nearly 15 per cent of the social welfare budget, elimination of 24,750 jobs in public services and reductions in child benefits, the minimum wage and pensions.[14] In Greece, such measures include pay cuts for public sector employees, tax increases, pension cuts and an increase in the age of retirement of public sector employees.[15] Spain has committed to reducing public spending by 7.9 per cent in 2011; Germany is reducing federal spending by 4.3 per cent between 2010 and 2011; and Italy is implementing a 10 per cent budget cut for 2011 and 2012.[16] The fiscal consolidation plans announced so far in developed countries are expected to have a negative impact on GDP growth in 2011 and 2012, and will therefore put the recovery process in jeopardy. The International Monetary Fund (IMF) finds that cutting the budget deficit by 1 per cent GDP typically reduces GDP by about 0.5 per cent within two years, raises the unemployment rate by 0.3 percentage points and reduces domestic demand.[17]

20. A move towards fiscal tightening is also under way in some developing countries. Even where the social protection budget is maintained in relative terms, expenditure may decline in absolute terms if total public budgets shrink. A study of 126 countries concludes that real public expenditure will contract in about one quarter of these countries in 2010-2011, with the countries in the Middle East and North Africa being hardest hit.[18] Two thirds of the countries surveyed in another

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[13] For further analysis, see "*Did Latin America learn to shield its poor from economic shocks?*", LAC Poverty and Labour Brief (World Bank, October 2010).

[14] Liz Alderman, "Ireland unveils austerity plan to help secure bailout", *New York Times*, 24 November 2010.

[15] Thomas L. Friedman, "Greece's newest odyssey", *New York Times*, 11 May 2010.

[16] David Cutler, "Factbox: austerity measures around the euro zone", *Reuters*, 7 December 2010. Available from http://www.reuters.com/article/idUSTRE6B64O220101207.

[17] International Monetary Fund, *World Economic Outlook: Recovery, Risk and Rebalancing* (Washington, D.C., October 2010).

[18] I. Ortiz and others, "Prioritizing expenditures for a recovery for all: a rapid review of public expenditures in 126 countries", UNICEF, Social and Economic Policy Working Paper (New York, October 2010).

study have cut budget allocations to one or more pro-poor sectors, with social protection and education projected destined to suffer the most.[19]

21. Even maintaining expenditure on social protection at pre-crisis levels may not be sufficient because it is likely that, as a consequence of the crisis, more people are in need of social protection and are using public rather than private social services. A study of six developing countries — Bolivia (Plurinational State of), Ecuador, Kyrgyzstan, Nicaragua, the Philippines and Uzbekistan — suggests that, in face of the setbacks caused by the crisis, the Governments of Ecuador, Nicaragua and the Philippines would need to increase social spending by 1.0-1.5 per cent of GDP per year between 2010 and 2015 in order to meet the targets of the Millennium Development Goals on education, health and basic services by 2015. In the cases of Bolivia (Plurinational State of) and Kyrgyzstan, the additional cost of achieving these Millennium Development Goals, compared with the cost in the pre-crisis scenario, would be 0.7 per cent and 0.5 per cent of GDP per year, respectively.[20] This is in addition to the expenditures required prior to the crisis to build a basic set of social transfers in those countries.

22. Lessons emerging from developed countries and their crisis response show that social protection helped many men, women and their families cope with the recession, especially where systems were already in place and could be quickly extended. A basic social protection floor could bring these benefits to millions more. Targeting public employment programmes to depressed areas can be effective where schemes are well designed and targeted. Countries with experience of such employment guarantee schemes were best placed to broaden them in the crisis.[21]

IV. The affordability of social protection

23. While the structure of social protection systems should vary depending on specific country contexts and institutions, ILO has provided some broad guidance on the primary building blocks of a comprehensive social security system. A basic social protection floor, in countries lacking one, should comprise a basic set of essential context-appropriate social transfers and access to essential services, including health care, education and adequate nutrition. In low-income, agrarian economies, priority should be given to support for smallholder agriculture. Establishment of this basic set of transfers qua social protection floor is affordable, even in the poorest countries, if implemented progressively. In essence, affordability is largely a matter of political will.

24. In April 2009, the United Nations System Chief Executives Board for Coordination (CEB) endorsed the Social Protection Floor Initiative as one of its nine system-wide Joint Crisis Initiatives for confronting the crisis. The Social Protection Floor Initiative promotes a coherent vision of national social protection as a key component of national development strategies and seeks to support countries in

[19] K. Kyrili and M. Martin, *The Impact of the Global Economic Crisis on the Budgets of Low-Income Countries*, a research report for Oxfam International (Oxford, Oxfam GB, July 2010).

[20] *World Economic Situation and Prospects 2011: Global Outlook* (United Nations publication, pre-release), box I.3. Available from http://www.un.org/esa/policy/wess/wesp.html (accessed on 9 November 2010).

[21] See the report of the Secretary-General entitled "Recovering from the crisis: A Global Jobs Pact" (E/2010/64), box 2

identifying and closing crucial protection gaps. While alleviating the social impacts of the crisis is one of the objectives of the Social Protection Floor, its role is not transitory, as it aims to provide a rights-based systemic "insurance" against poverty for all residents at all times.

25. A series of studies conducted by ILO in 12 countries of Asia and sub-Saharan Africa show that the initial gross annual cost of a basic social protection package would be between 2.2 and 5.7 per cent of GDP in 2010.[22] Individual elements appear more affordable: the cost of providing basic child benefits would be below 3 per cent of GDP in a large majority of the countries studied; the cost of social assistance, including a 100-day employment scheme for the poor, would be well below 1 per cent of GDP; the cost of universal access to essential health care would range from an estimated 1.5 of GDP in the Asian countries studied to 5.5 of GDP in Burkina Faso. The relative cost of old-age and disability pensions would increase only moderately by 2030 despite the ageing process. These costs are less significant if the potential consequences of not investing in social protection are factored in. Recent research in Latin America and the Caribbean suggests that additional domestic revenues from economic growth and a small expansion of the tax burden could cover the cost of a universal social protection floor by 2014, or earlier, in all but four countries — Bolivia (Plurinational State of), Guatemala, Honduras and Nicaragua — which would require international aid.[23]

26. A critical factor which is often missing in successful social protection programmes is sustainable funding. The Global Jobs Pact adopted by the International Labour Conference in 2009 and endorsed by the United Nations System Chief Executives Board for Coordination urges "the international community to provide development assistance, including budgetary support, to build up a social protection floor on a national basis".[24] In its resolution 2010/12 of 22 July 2010, entitled "Promoting social integration", the Economic and Social Council, pursuant to the recommendation of the Commission for Social Development at its forty-eighth session (E/2010/26, chap. I.A), urged Governments to develop systems of social protection and to extend or broaden those systems' coverage of social security and support for labour-market participation.

27. Currently, social assistance programmes are strongly dependent on international aid, especially in low-income countries of sub-Saharan Africa. Although aid can help put social protection programmes in place, the recipient countries must secure the fiscal space necessary to guarantee the long-term sustainability of a social protection floor. While fiscal space has increased in the last 10 years in a majority of developing countries, including many in sub-Saharan Africa, still more can be done to mobilize domestic resources and optimize public spending.

28. Social protection programmes have been implemented in countries at different levels of development. Nepal, for instance, is currently expanding the scope of its

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[22] International Labour Organization, *Extending Social Security to All: A Guide through Challenges and Options* (Geneva, International Labour Organization, 2010).

[23] Economic Commission for Latin America and the Caribbean, *Social Panorama of Latin America 2010* (United Nations publication).

[24] International Labour Organization, *Recovering from the Crisis: A Global Jobs Pact — adopted by the International Labour Conference at its Ninety-Eighth Session, Geneva, 19 June 2009* (Geneva, International Labour Office, 2009), para. 22 (9). Available from http://www.ilo.org (accessed 9 November 2010).

universal pension scheme, aiming to reduce the retirement age in due course from 75 to 65.[25] Countries at similar income levels exercise a substantial degree of discretion regarding public expenditure, as well as the share of public resources allocated to social expenditure: Brazil and Mexico, both middle-income countries, spend 13.2 per cent and 3.5 per cent of GDP, respectively, on social protection. Expenditure on social protection represents 10.5 per cent of GDP in Mongolia and 1.9 per cent of GDP in Indonesia.[26] The level of social expenditure, it seems, is more the result of a policy choice than a reflection of availability of resources or affordability.

V. Social protection and social integration

29. Universal access to basic social protection and to social services, especially health and education, is necessary in order to break the intergenerational cycle of poverty, reduce social and economic inequalities and promote inclusive and equitable economic growth. However, social protection will have a limited impact on poverty and vulnerability if it is not complemented by broader interventions that address access to resources and their redistribution. Measures ensuring access to land, credit and other productive resources, access to housing, fair inheritance rights, full legal capacity and access to justice by poor women and men, are critical for poverty eradication.

30. The participation of all members of society in social, economic and political life is important in order to ensure that Governments respond to social needs, including those of the poor. However, discrimination against individuals and social groups has precluded or limited their participation. Creating an enabling environment for the involvement of low-income groups in decision-making processes, in particular, and taking public action against discrimination are important steps towards balancing the inequitable distribution of power, promoting participation and thus advancing the social development agenda.

31. Building support for social integration programmes also requires building political coalitions that set and carry out policy, creating institutionally sustainable structures of governance and implementation, and enforcing rules governing their use. Well-tailored social protection programmes also call for sound information on, for instance, levels, duration and severity of income poverty and other dimensions of deprivation. Strengthening statistical capacity to produce and disseminate reliable data, especially in poorer countries, is essential to improving the formulation and evaluation of social protection programmes.

VI. Suggested discussion points

32. The Commission for Social Development may wish to consider the following questions as a means of guiding the discussion on this emerging issue:

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[25] *Extending Social Security to All*.

[26] United Nations Research Institute for Social Development, *Combating Poverty and Inequality: Structural Change, Social Policy and Politics* (United Nations publication, 2010, Sales No. E.10.III.Y.1).

- Based on national experiences, what are the main challenges to extending social protection? What have countries done to overcome them?
- What successful measures have countries undertaken to mobilize the financial resources needed to implement or expand social protection programmes?
- What national or international actions are needed to promote formal social protection in developing countries?
- How can labour-market initiatives and social policies, including social protection programmes, reduce poverty and inequality and thus help foster a more sustained, inclusive and equitable economic growth?

United Nations E/CN.5/2011/9

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Follow-up to the World Summit for Social Development and the twenty-fourth special session of the General Assembly: review of relevant United Nations plans and programmes of action pertaining to the situation of social groups

Monitoring of the implementation of the Standard Rules on the Equalization of Opportunities for Persons with Disabilities

Note by the Secretary-General

1. At its forty-eighth session, the General Assembly adopted the Standard Rules on the Equalization of Opportunities for Persons with Disabilities, contained in the annex to its resolution 48/96. These 22 Standard Rules provide a framework to further implement the goals of "equality" and "full participation" of disabled persons in social life and development as set forth in the World Programme of Action concerning Disabled Persons, adopted by the Assembly in its resolution 37/52.

2. Section IV, paragraph 2, of the Standard Rules stipulates that the rules should be monitored within the framework of the sessions of the Commission for Social Development. The appointment of a Special Rapporteur to monitor their implementation was also envisaged in that paragraph.

3. In March 1994, the Secretary-General appointed Bengt Lindqvist (Sweden) Special Rapporteur on Disability of the Commission. Mr. Lindqvist prepared three reports (see A/52/56, E/CN.5/2000/3 and Corr.1 and E/CN.5/2002/4) for the consideration of the Commission during his mandate, which was renewed in 1997 and in 2000 by the Economic and Social Council in its resolutions 1997/19 and 2000/10, respectively.

4. In June 2003, the Secretary-General appointed Sheikha Hessa Al-Thani (Qatar) Special Rapporteur for the period 2003-2005. The Special Rapporteur submitted an

* E/CN.5/2011/1, to be issued.

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oral report to the Commission at its forty-second session. At its forty-third session in February 2005, the Commission was presented with the report of the Special Rapporteur (see E/CN.5/2005/5 and Corr.1). In its resolution 2005/9, the Economic and Social Council welcomed the work of the Special Rapporteur and decided to renew her mandate through 31 December 2008. The Commission considered the reports of the Special Rapporteur at its forty-fourth, forty-fifth and forty-sixth sessions in February 2006, February 2007 and February 2008, respectively (see E/CN.5/2006/4, E/CN.5/2007/4 and E/CN.5/2008/3).

5. In its resolution 2008/20, entitled "Further promotion of equalization of opportunities by, for and with persons with disabilities and protection of their human rights", the Economic and Social Council decided to renew the mandate of the Special Rapporteur until 31 December 2011 in accordance with the provisions set down in section IV of the Standard Rules on the Equalization of Opportunities for Persons with Disabilities to further their promotion and monitoring, including the human rights dimensions of disability, and the provisions of that resolution.

6. In August 2010, the Secretary-General appointed Shuaib Chalklen (South Africa) Special Rapporteur on Disability of the Commission for the period 2009-2011. Mr. Chalklen delivered an oral report to the Commission at its forty-eighth session. The Economic and Social Council also requested the Special Rapporteur to submit to the Commission an annual report on his activities in implementing resolution 2008/20. The Secretary-General has the honour to submit to the Commission the annual report of the Special Rapporteur pursuant to that resolution.

Report of the Special Rapporteur on Disability of the Commission for Social Development on monitoring of the implementation of the Standard Rules on the Equalization of Opportunities for Persons with Disabilities

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I. Introduction

1. This is my first report to the Commission for Social Development on my activities pursuant to Economic and Social Council resolution 2008/20 and in accordance with the provisions set forth in section IV of the Standard Rules on the Equalization of Opportunities for Persons with Disabilities.

2. I wish to express my appreciation to the Secretary-General and the Commission for Social Development for entrusting me with the important role of Special Rapporteur on Disability. I would like to extend my gratitude to the Governments of Finland, Norway and Sweden for their generous support towards my work and to all Governments that have also provided generous contributions.

3. I wish to thank the Department of Economic and Social Affairs and its staff for their excellent support in helping me carry out my mandate throughout this period.

II. Background

4. The foundation for disability rights and development was laid out in the World Programme of Action concerning Disabled Persons (1982). Since then, the development of a number of important instruments has shaped the international policy discourse on disability, including most notably, the Standard Rules on the Equalization of Opportunities for Persons with Disabilities (1993) and the Convention on the Rights of Persons with Disabilities (2006). Together, these three instruments constitute the core international normative framework for action to promote the advancement of the rights of persons with disabilities in the world. The synergy and complementarities among these three disability-specific instruments have been recognized and emphasized by the General Assembly in a series of resolutions.[1]

5. In this context, my work and priorities are built on the three instruments on disability, relevant human rights and development instruments, including the Millennium Development Goals, other internationally agreed development goals and relevant international commitments and standards.

6. This report covers the period from February to October 2010, nine months following my oral report to the forty-eighth session of the Commission in February 2010. I have concentrated my efforts on highlighting my work in relation to my vision and priorities, which I outlined during my address to the Commission as follows:

- Monitoring, promoting and implementing the Standard Rules in light of the Convention and other disability instruments in the context of development and their usage in the development of national policies
- Promoting the mainstreaming of disability in priorities of the global development agenda, such as poverty and hunger, focusing on the Millennium Development Goals

[1] Most recently, in General Assembly resolutions 63/150 and 64/131.

- Raising greater awareness and support for the implementation of the Standard Rules, the Convention and other internationally agreed development norms, including the Millennium Development Goals
- Fostering international cooperation
- Focusing special attention on measures to address the vulnerabilities of specific groups within the disability community, such as women and girls with disabilities, children and persons with mental disabilities, and persons with disabilities in situations of risk and humanitarian emergencies, including in the emergency witnessed in Haiti in 2010.

7. Over the course of the nine months, I travelled on mission to a number of countries in different regions, including Denmark, Ethiopia, Finland, Libyan Arab Jamahiriya, Norway, Qatar, Sweden, Switzerland, United Arab Emirates, United States of America and Zambia.

8. I am pleased to note that in many parts of the world, progress continues with an increasing attention to disability issues, including through the swift signing and ratification of the Convention. As at 15 November 2010, 96 countries had ratified the Convention and the figure is expected to climb, as Member States commit themselves to promoting the rights of persons with disabilities in all aspects of society and development.

9. I also found, however, that more needs to be done in order to translate the commitments to the rights of persons with disabilities into concrete action and practice, so as to ensure that persons with disabilities enjoy their universal human rights.

10. I am strongly convinced that disability issues must be placed firmly within the mainstream development agenda. More action and measures must be taken to further raise awareness among key stakeholders about the rights of persons with disabilities. Attitudinal, institutional and environmental barriers must be removed for persons with disabilities to participate on a daily basis in society. International cooperation of all forms, including exchange of knowledge and expertise, good practices and financial assistance, should be further promoted.

11. Full and effective implementation of the Standard Rules for the Equalization of Opportunities for Persons with Disabilities, in line with the Convention on the Rights of Persons with Disabilities, can continue to play an important role for Member States in their endeavours to ensure equal opportunities for, and full participation of, persons with disabilities in all aspects of development.

III. Activities of the Special Rapporteur on Disability

A. Monitoring of the implementation of the Standard Rules and synergy among the disability-specific instruments

12. Member States and organizations of persons with disabilities are increasing their efforts to promote the rights of persons with disabilities in society and development in line with the Convention on the Rights of Persons with Disabilities to bring about lasting change in the lives of persons with disabilities.

13. For example, in Zambia, disabled persons' organizations, in partnership with international development organizations, are using article 9 of the Convention concerning accessibility in the High Court. In this context, the Zambian parliamentary complex was used as a legal example. As a result of their efforts, the Government and the High Court eventually agreed to make the parliamentary complex more accessible.

14. At the invitation of the Government of Qatar, I visited Qatar to discuss the implementation of the Standard Rules. My preliminary observations from the mission are available from: www.un.org/disabilities/documents/specialrapporteur/qatar_2010.doc.

15. An encouraging development is that many Member States that have ratified the Convention and its Optional Protocol have witnessed expanded constituencies, with civil society organizations and individuals working with Government. Together, they contribute to the reports submitted to the Committee on the Rights of Persons with Disabilities, which is responsible for monitoring the implementation of the Convention and promoting the disability agenda in development.

16. The findings of missions and relevant studies that I have conducted demonstrate that the Standard Rules continue to provide helpful and practical guidance tools for Member States in raising awareness about the rights of persons with disabilities, establishing national coordination mechanisms, empowering disabled persons' organizations and promoting equal opportunities for persons with disabilities in fields such as advocating and promoting accessibility, rehabilitation, education and access to social protection as well as promoting international cooperation.

17. To better fulfil my tasks in this respect, more specific missions to enhance monitoring of the implementation of the Standard Rules are planned for 2010-2011.

18. I have also been invited to the next meeting of the Committee on the Rights of Persons with Disabilities, to be held in April 2011 in Geneva.

B. Mainstreaming disability in development

1. Member States

19. In relation to Economic and Social Council resolutions 2008/21 and 2010/13 on mainstreaming disability in the development agenda, I note that the issue of mainstreaming disability in development attracted the most attention from the international community.

20. At the forty-eighth session of the Commission for Social Development, I chaired a panel discussion consisting of speakers from major bilateral and international agencies and the United Nations. The panel was part of a series of panels on disability organized by the Department of Economic and Social Affairs in partnership with other key stakeholders, including the Global Partnership for Disability and Development, the Governments of Finland and Italy and offices of the United Nations system. The participants discussed good practices adopted by the participating agencies and shared their experiences and vision for inclusive and barrier-free development cooperation through mainstreaming and empowerment of persons with disabilities, also referred to as the "twin-track approach" to disability.

21. In the Secretary-General's report, "Keeping the promise: realizing the Millennium Development Goals for persons with disabilities towards 2015 and beyond" (A/65/173), I recognize that a high number of countries (43) submitted reports that contained important analysis and discussion on the progress and challenges concerning the advancement of persons with disabilities in development and the realization of the Millennium Development Goals. The report recognizes the importance of improving disability data and statistics.

22. The report refers to disability and the Millennium Development Goals in the context of progress and challenges within Member States; however, there is very little information on how persons with disabilities are benefiting from the development efforts to meet the Goals. In many countries, there remains a lack of awareness of the needs of persons with disabilities and a lack of understanding of disability-inclusive development.

23. I note that the report of the Economic Commission for Africa (ECA) on Africa and the Millennium Development Goals only contains a few references to persons with disabilities. There is also a lack of awareness concerning inclusive development, which underscores the need for data and analysis of the situation of persons with disabilities in economic and social development. Unless this urgent need is addressed, future reports will contain as little information as is currently available.

24. At its sixty-fifth session, the General Assembly adopted a resolution in which it called for the further mainstreaming of disability in the Millennium Development Goals and in the work of Member States, donors and the United Nations system.[2] The Assembly reaffirmed disability as a multidimensional and cross-cutting development issue. It further requested the Secretary-General to collect and present information about the situation of persons with disabilities and the progress made in achieving the Millennium Development Goals for persons with disabilities with a view to convening a High-level Meeting at the United Nations in 2012. This initiative will prompt the international community to develop a new plan to ensure the achievement of internationally accepted development goals, including for persons with disabilities towards 2015 and beyond.

2. United Nations system

25. I note that more and more initiatives are being taken by United Nations agencies to work towards the advancement of disability rights in development.

26. For example, a number of panel discussions and events were organized by United Nations agencies, in partnership with Member States, civil society organizations and academic institutions, on mainstreaming disability in development. They were organized under specific themes such as disability statistics and data, inclusion of women and girls with disabilities, persons with disabilities in the context of relief and reconstruction in situations of risk and natural disasters, such as Haiti's earthquake, mental health issues and the Millennium Development Goals.

[2] See A/C.3/65/L.12/Rev.1, adopted by the Third Committee of the General Assembly on 9 November 2010.

27. I am pleased to see that accessibility is being promoted by more agencies as both a goal and a means of enabling persons with disabilities to fully participate in development. The Department of Economic and Social Affairs organized an expert group meeting on accessibility to information and communications technology and physical environments in Washington, D.C., in June 2010. The Office of the United Nations High Commissioner for Human Rights, with the Committee on the Rights of Persons with Disabilities, also hosted a day of general discussion on the issue of accessibility. I commend this important effort by the United Nations.

28. In October 2010, the United Nations Development Group and the Inter-Agency Support Group on Disability finalized and endorsed a guidance note on mainstreaming disability in the work of United Nations country teams. This note will assist country offices in advocating the rights of persons with disabilities in order to ensure that disability issues and persons with disabilities are included in all aspects of United Nations programming at the country level. I look forward to working closely with country teams and their partners to build new coalitions for our common endeavour to bring disability to national development policies and programmes.

29. The World Health Organization (WHO) has also launched new community-based rehabilitation guidelines, developed in partnership with other United Nations agencies and non-governmental organizations. I believe these important guidelines will empower persons with disabilities and their communities. Together with these communities, I intend to advocate a multisectoral approach to include persons with disabilities in health, education and employment.

30. In September 2010, I held meetings with several United Nations agencies based in New York, including the United Nations Children's Fund (UNICEF), the Office of the United Nations High Commissioner for Refugees (UNHCR) and the United Nations Development Programme (UNDP). The purpose of the meetings was to discuss the mainstreaming of disability in their policies and programmes. I commend their ongoing efforts; UNICEF, for example, established a post for a disability adviser who will mainstream disability in its policies and programmes.

31. I believe more efforts can be made by the United Nations in mainstreaming disability in the work of all agencies, including through the recruitment of persons with disabilities by the United Nations agencies, funds and programmes.

3. Promoting disability-inclusive development in Africa

32. Promoting disability-inclusive development in Africa is one of the priority areas that I have been working on since my appointment. In my oral report in February 2010, I mentioned a meeting on disability in Africa, held at ECA in April 2010 (previously planned for the Libyan Arab Jamahiriya). The meeting was co-organized by the Swedish International Development Cooperation Agency and the secretariat of the African Decade of Persons with Disabilities. The African Union also attended the meeting.

33. The purpose of the meeting was to carry out a review of the African Decade of Persons with Disabilities and to chart a way forward for a second decade. The conference concluded that there had been many achievements during the African Decade. In particular, the African Decade had been successful in building capacity in the countries in which it had received the support of Governments for its

activities, notably in Rwanda and the United Republic of Tanzania. With the support of the International Labour Organization (ILO), WHO, the United Nations Educational, Scientific and Cultural Organization (UNESCO), the Department of Economic and Social Affairs and the African Union, a Continental Plan of Action was drafted for adoption.

34. The conference reported serious challenges confronting the African Decade in its second term. Some of the challenges are: funding constraints, lack of support of Governments, lack of donor support, capacity constraints within the secretariat, the absence of an institutional link with the intergovernmental bodies, such as the African Union, and lack of clarity of the role of the secretariat of the African Decade. What was clear from this conference is that the African Decade is in great need of other development partners.

35. Following the review meeting of the Southern African Federation of the Disabled, I started a process of consultation with local partners on the formation of an African Disability Forum. The idea of the African Disability Forum is to develop a knowledge base that would build the capacity of Governments and disabled persons' organizations in Africa to enable them to strengthen their voice and to engage international development partners on matters concerning persons with disabilities on the African continent. I am in support of such a body.

36. Two international conferences will take place in Durban, South Africa, in 2011. The XVI World Congress of the World Federation of the Deaf will take place in July 2011 and Disabled Peoples' International will hold a conference in October 2011. I have been invited to both conferences as a key speaker and I intend to bring the knowledge and experience of the United Nations concerning the rights of persons with disabilities to contribute to those conferences.

C. Fostering international cooperation

37. International cooperation is an important component of development, as envisaged by the Standard Rules, World Programme of Action and article 32 of the Convention on the Rights of Persons with Disabilities. This was further emphasized by General Assembly resolutions 64/131 and 63/150 and Economic and Social Council resolution 2008/20. Article 32 is unique as it is the first stand-alone article within a core human rights convention. Article 32 refers to the sharing of knowledge and information between States, the building of capacity and the transfer of economic assistance.

38. The mainstreaming of disability in development cooperation was discussed extensively in the meetings I participated in with several donor countries.

39. In August 2010, I met a delegation from the Japan International Cooperation Agency who visited three African countries with a view to researching the viability of establishing independent living centres in Africa. The countries visited were Kenya, Malawi and South Africa. I acted as the facilitator for the meetings of members of the delegation and the Government of South Africa. The delegation officials expressed their keen interest in establishing these centres with the support of the Governments and organizations of persons with disabilities. The aim of this initiative in helping African countries to set up these centres is to support persons with disabilities to live independently within their communities. The knowledge and

information concerning independent living provided by the Agency will help to set up these centres through a process of capacity-building over a period of three years. Subject to the support of the Governments of Kenya, Malawi and South Africa, the process will begin in 2011. The first phase will consist of training in Japan for persons with disabilities and Government officials. This will continue throughout the process of establishing the centres.

40. In May and June 2010, I visited Denmark, Finland, Norway and Sweden at the invitation of their Governments. The purpose of my visits was to meet with representatives of Governments and organizations of persons with disabilities and to discuss a way forward to promote disability-inclusive international development cooperation. The Government of Norway also expressed its interest in hosting a meeting to discuss the issue further in the context of the situation of persons with disabilities in areas of humanitarian disasters.

41. These countries provide very strong support for the human rights of persons with disabilities in development. However, disability is often positioned as a specific sector rather than mainstreamed throughout their policies and programmes on international development. Similarly, other donor countries have not adopted a policy of mainstreaming disability in their development cooperation agenda. One of the reasons for this is that the recipient countries have not identified disability as a development priority. There is also very limited monitoring of the development outcomes by civil society organizations and Governments in donor countries at this time. I intend to work closely with Governments in donor countries to pursue this matter further.

42. With a view to bringing a social development perspective, in March 2010 I attended the thirteenth session of the Human Rights Council in Geneva and presented a paper concerning issues related to article 33 of the Convention (national monitoring and the disability focal point within Government).

43. In Human Rights Council resolution 13/11, entitled "Human rights of persons with disabilities: national implementation and monitoring and introducing as the theme for 2011 the role of international cooperation in support of national efforts for the realization of the rights of persons with disabilities", the Human Rights Council requested a "study to enhance the awareness of international cooperation". There is no doubt that such a study would provide a unique opportunity to explore the potential of article 32. Given that the study will be discussed in the Human Rights Council, I hope that the potential of realizing the human rights and development dimensions of the Convention on the Rights of Persons with Disabilities will be further expanded so that concrete action may be taken that will bring about practical changes in the lives of persons with disabilities. Also, it is my hope that the study will emphasize disability-inclusive development and a traditional understanding of North-South cooperation. I am also seeking to build bridges with other thematic mandate holders in the realm of human rights.

44. I am planning a number of activities in this regard in the following priority areas as mentioned below:

Disability-inclusive Millennium Development Goals

45. The draft outcome document of the High-level Plenary Meeting of the sixty-fourth session of the General Assembly on the Millennium Development Goals

(64/299, annex), is encouraging in that it particularly notes that policies and actions must include all, especially those that are still invisible, so that they may benefit from progress towards achieving the Millennium Development Goals. It specifically highlights the need to include accessibility for persons with disabilities in poverty eradication measures as well as in education. Prior to this, a need to ensure accessibility and inclusion for all in the Millennium Development Goals had also been emphasized in General Assembly resolution 64/131. The explicit mention of persons with disabilities in the draft outcome document is an encouraging call to action for disability.

46. I would like to underscore the call contained in the ministerial declaration of the high-level segment of the substantive session of 2010 of the Economic and Social Council, which emphasizes "the need for measures to ensure that women and girls with disabilities are not subject to multiple or aggravated forms of discrimination, or excluded from participation in the implementation of the internationally agreed development goals, and in this regard further emphasize the need to ensure their equal access to education at all levels, including technical and vocational training, and adequate rehabilitation programmes, health care and services and employment opportunities, to protect and promote all their human rights and to eliminate existing inequalities between women and men with disabilities".

47. Civil society organizations such as the International Disability Alliance, the International Disability and Development Consortium and the Global Partnership for Disability and Development have also made numerous interventions at the United Nations on the importance of mainstreaming disability. I had meetings with the International Disability Alliance on the establishment of a multi-donor trust fund on disability to translate into reality the vision of the United Nations to advance the rights of persons with disabilities. I fully support these ideas to establish such a fund.

48. In support of mainstreaming the rights of persons with disabilities in the Millennium Development Goals, I participated in a side event hosted by the Minister for Foreign Affairs of Finland as part of the High-level Plenary Meeting in September 2010. The event increased attention on disability issues and called for action to mainstream the rights and concerns of persons with disabilities in all aspects of development, especially in the Millennium Development Goals. In Copenhagen, in May 2010, I held a meeting with the Permanent Representative of Denmark to the United Nations, who was co-chairing the Millennium Development Goal review exercise to discuss how to better address the invisibility of disability and the urgent need for disability-inclusion in Millennium Development Goal processes.

49. In the context of health-related Millennium Development Goal measures, the international community increasingly recognizes the importance of mental health in ongoing efforts to achieve the Millennium Development Goals. Much work remains to be done to promote and guarantee the right to health of persons with disabilities, especially with respect to mental health. Mental health is still a neglected issue in development. I commend the initiatives of United Nations departments and agencies in the area of mental health and development, including the Department of Economic and Social Affairs and WHO, which have recently organized a panel discussion to commemorate the launch of the WHO report entitled "Mental health

and development: targeting people with mental health conditions as a vulnerable group".

50. At the regional level, at its 146th session, the Executive Committee of the Pan American Health Organization adopted a resolution on health and human rights that reiterated the linkages between health and the human rights instruments of the United Nations and inter-American systems.

D. Promoting the implementation of the Standard Rules, the Convention on the Rights of Persons with Disabilities and other international development instruments

51. I continue to raise awareness of the Convention, the World Programme of Action, the Standards Rules and other international development instruments related to persons with disabilities.

52. During the discussions with the Government officials of the countries I visited on my missions, despite the swift signing and ratification of the Convention, I noted the relatively slow progress being made in the implementation of the Standard Rules. While on mission at United Nations Headquarters in August and September 2010, I met with representatives of Governments and civil society organizations in informal sessions, in which we discussed measures to promote the implementation of the Convention, the Standard Rules and international development goals and to further raise awareness of specific issues, including those related to women, children and other persons with intellectual and psychosocial disabilities.

53. One day prior to the third session of the Conference of States Parties to the Convention on the Rights of Persons with Disabilities, I made a keynote address at the Civil Society Forum entitled "Ratification and implementation of the Convention on the Rights of Persons with Disabilities in the international cooperation and development context: stakes, challenges and opportunities". In my presentation, I drew attention to the large number of persons with disabilities living in poverty in the global South and the key role of civil society in lobbying national Governments to include disability in development projects. The need to strengthen the voice of persons with disabilities and for better coordination between global coalitions of disability organizations to promote disability in development was highlighted. I also emphasized the importance of self-representation in raising greater awareness of the conditions of women and girls with psychosocial disabilities.

54. I will, in the coming years, continue these efforts and focus on raising awareness among regional parliamentary forums and regional development institutions, such as the African Union, ECA and the African Development Bank.

E. Vulnerable groups within the disability community

55. In my oral report to the Commission in February 2010, I stated that I would focus on vulnerable groups such as women and girls with disabilities, persons with mental disabilities, the deaf and those in situations of risk such as humanitarian disasters.

56. On my missions, I often referred to the urgency of addressing the situation of women and girls with mental disabilities as an especially vulnerable group within Africa.

57. My intention is to raise greater awareness of these greatly marginalized groups among persons with disabilities and hopefully to ensure the full inclusion of persons with mental disabilities, with a focus on girls and women with disabilities, in the global development agenda.

58. In September 2010, I held meetings with UNHCR, the World Bank and the Department of State of the United States of America, in which these critical issues were raised. Officials of these institutions expressed a keen interest in the issue and the World Bank indicated its interest in pursuing this matter further. The Global Partnership for Disability and Development developed a handbook on the inclusion of persons with disabilities in situations of humanitarian disasters and I wish to commend them for their efforts. I am concerned that very little attention is paid to issues related to persons with disabilities in situations of risk and humanitarian emergencies.

IV. Observations and conclusions

59. In the relatively short time since February 2010, I have strived to fulfil my mandate as the Special Rapporteur on Disability. The following are my observations and conclusions:

60. The first and most significant development in the disability field in the past several years is related to the Convention and its role in promoting disability rights in the development agenda. The Convention, together with the World Programme of Action concerning Disabled Persons and the Standard Rules, strengthens the international normative framework, which provides guidelines for measures and action for promoting the equalization of opportunities. However, there is a persistent gap between commitments and policy and practices, and more should be done to narrow this gap.

61. Regrettably, the most common barriers to inclusive development are still very much apparent in many parts of the world. These barriers take various forms, such as negative attitudes, lack of resources, lack of political will, poor support for inclusion among development professionals, absence of a clear legal framework and lack of capacity to implement policies. There is a lack of an effective mechanism to ensure that information and knowledge on best practices are shared among Member States.

62. By adopting the resolution entitled "Realizing the Millennium Development Goals for persons with disabilities towards 2015 and beyond",[3] the General Assembly has reiterated its firm commitment to further disability rights in the global development agenda and promote disability-inclusive development.

63. Initiatives such as the United Nations guidance note should support Member States and country teams in efforts towards mainstreaming disability in the Millennium Development Goals and in development programmes generally.

[3] See A/C.3/65/L.12/Rev.1.

64. Greater effort is required to make disability part of the development agenda and the dialogue on development. The lack of available data on the situation of persons with disabilities is noted as a major challenge in this endeavour.

65. The full implementation of the Standard Rules continues to play a useful role in improving the lives of persons with disabilities.

66. I commit myself to ensuring the best use and synergy of existing normative instruments on disability and I am ready to work together with all partners to advance disability rights in development in all parts of the world, including in Africa.

V. Recommendations

67. I wish to make the following recommendations:

(a) Member States and the United Nations system should urgently address the issue of lack of statistics and data on disability and analysis of the situation of persons with disabilities in economic and social development. Immediate measures need to be taken to strengthen the statistical capacity so that collection and analysis of disability data and statistics can provide evidence-based findings to promote monitoring of disability-inclusive development and evaluation of the implementation of the Millennium Development Goals as well as of the Convention;

(b) Good practices and examples of promoting disability-inclusive development and the mainstreaming of disability in development should be shared among Member States;

(c) A multi-donor trust fund or similar entity should be established under the auspices of the United Nations with the aim of promoting disability rights in development and supporting the efforts of Member States in implementing internationally agreed development goals, including the Millennium Development Goals and the Convention;

(d) Disability focal points should be established in each of the United Nations agencies;

(e) Persons with disability and their organizations should be empowered and supported, and better coordination should be facilitated among disability coalitions;

(f) Disability should be mainstreamed in international development cooperation policies, programmes and projects through global partnerships.

VI. Planned activities for 2011

68. To continue to fulfil my mandate, I intend to work closely with Member States, the United Nations system and civil society and to continue with country visits in 2011. I also plan to facilitate an interregional dialogue on the Decades; a meeting will be held in 2011 to encourage the sharing of best practices among the different regional Decades, including the African Decade, the Arab Decade, the Asia and Pacific Decade and the Decade of the Americas for the Rights and Dignity of Persons with Disabilities.

69. Another aim of proposing a dialogue among regional Decades is to encourage interregional and international cooperation to promote the implementation of the Standard Rules and the Convention and assist with the development and implementation of national and regional disability policies.

70. In terms of mainstreaming disability in development, I support the convening of a High-level Meeting at United Nations Headquarters in 2012, as envisaged by the most recent General Assembly resolution on realizing the Millennium Development Goals for persons with disabilities towards 2015 and beyond with a view to furthering the momentum attained in this respect.

71. I intend to support a high-level African meeting on inclusive development, which shall include the African Governments, African Union, ECA, the African Development Bank, key donor countries, and institutions and organizations of persons with disabilities.

72. I will also consider convening a meeting of the panel of experts on disability issues and this will be done with the support of partners in civil society organizations, especially disabled persons' organizations such as the International Disability Alliance.

73. I will work closely with Member States, United Nations agencies and its regional commissions and the secretariat of the African Decade as well as national and regional organizations of persons with disabilities to facilitate a meeting to further the establishment of the proposed African Disability Forum. The purpose of the African Disability Forum would be to encourage the sharing of information and knowledge of best practices on the continent of Africa and globally, and to encourage research on disability that will present evidence of good practices regarding the implementation of disability policies and programmes.

74. The members of the African Disability Forum would include Governments of African countries, civil society structures, universities and international development partners. In that context, I approached representatives of the Norwegian Agency for Development, who proposed that a meeting be held to discuss the mainstreaming of disability in development cooperation agreements in the near future.

75. Throughout these activities, I will work closely and consult with global civil society, especially disability communities such as the Global Partnership for Disability and Development, the International Disability Alliance and the International Disability and Development Consortium.

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Report of the Board of the United Nations Research Institute for Social Development

Note by the Secretary-General

The Secretary-General has the honour to transmit to the Commission for Social Development at its forty-ninth session the report of the Board of the United Nations Research Institute for Social Development on the work of the Institute during 2009 and 2010.

* E/CN.5/2011/1.

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Report of the Board of the United Nations Research Institute for Social Development on the work of the Institute during 2009 and 2010

Summary

The present report covers the activities of the United Nations Research Institute for Social Development in 2009 and 2010.

The biennium was marked by several key changes in the management and funding of the Institute. Thandika Mkandawire, Director, left in April 2009, and in November 2009 a new Director, Sarah Cook, took up her post. Peter Utting served as Officer-in-Charge in the interim period. In 2009-2010, the Institute received core funding through the voluntary contributions of seven Governments, in addition to project funding from a number of donors. During this period the financial situation of the Institute deteriorated markedly, largely owing to the wider financial environment. One core donor withdrew and others reduced their contributions. Efforts were made to increase and diversify funding sources, and the Institute hosted a meeting of donors in March 2010. Reductions in staff and activities were made in response to the reduced funding.

The 2005-2009 research agenda drew to a close. Several projects were completed, leading to a large number of publications and dissemination activities. These included work within programmes on social policy in a development context, gender and development, civil society and social movements, and markets, business and regulation.

In response to the multiple crises confronting the global economy, the Institute convened, in November 2009, an international conference on the theme "Social and political dimensions of the global crisis: implications for developing countries". It also concluded a wide-ranging inquiry into the dynamics of poverty reduction, which culminated in the publication of its flagship report, *Combating Poverty and Inequality: Structural Change, Social Policy and Politics*, on the eve of the High-level Plenary Meeting of the sixty-fifth session of the General Assembly on the Millennium Development Goals, held in September 2010.

During this period, the Institute paid increasing attention to ensuring the relevance of its research and dissemination activities for stakeholders within the United Nations system, the donor community, academia and civil society, in an effort to inform development policy and practice.

The Institute held extensive consultations with those constituencies during the biennium in designing a new institutional strategy for 2010-2014, which was approved by the Board in June 2010. Research planned for the coming years reflects the changed context and greater uncertainty for social development following the multiple crises in the global economy. In addition, the institutional strategy involves a strengthening of the Institute's communications activities, aimed at enhancing the relevance and impact of its research, and of its strategic resource mobilization activities, aimed at securing the financial stability of the Institute through efforts to diversify and increase core and project funding.

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I. Introduction

1. The present report covers the activities of the United Nations Research Institute for Social Development in 2009 and 2010. It is submitted to the Commission for Social Development in accordance with the terms set out in Secretary-General's bulletin ST/SGB/126 of 1 August 1963, in which it is stipulated that the Board of the Institute should, inter alia, submit regularly to the Commission "a progress report on the work of the Institute".

2. The Institute was established in 1963 to create an autonomous space within the United Nations system for policy-relevant research and dialogue on important social issues. Its enduring purpose has been to generate knowledge and articulate policy alternatives on contemporary social development processes and problems. Through its activities, the Institute contributes to the broader goals of the United Nations system of reducing poverty and inequality, advancing well-being and rights, and creating more democratic and just societies.

3. The report begins with a discussion of the financial situation of the Institute, which deteriorated markedly in 2009-2010, and the implications for staffing and institutional activities. It provides information about activities completed under the 2005-2009 research programme, which culminated in the launch of its flagship report, *Combating Poverty and Inequality: Structural Change, Social Policy and Politics*, as well as about events held and activities undertaken during the biennium. These included an international conference on the theme "Social and political dimensions of the global crisis: implications for developing countries" and a number of other initiatives. It presents the new research agenda and institutional strategy developed for the 2010-2014 period. Finally, it provides information about the work undertaken to communicate and disseminate research in order to ensure that it informs development policy and practice, concluding with a list of publications issued in 2009-2010.

II. Management, staffing and financial situation

4. As at 30 November 2010, a total of 13 staff members were under contract at the Institute in Geneva, including a director and a deputy director, four research coordinators, four publication and dissemination staff and three administrative and support staff. Two contractors were also working at the Institute, carrying out outreach tasks necessary for the fulfilment of the Institute's workplan. Five staff posts remained vacant owing to lack of funding.

5. Thandika Mkandawire, Director, left in April 2009 and a new Director, Sarah Cook, took up her post in November 2009.

6. During the reporting period, a total of 47 visiting fellows, research analysts and interns contributed to the activities of the Institute. They came from 25 countries: Argentina, Australia, Brazil, Burkina Faso, Canada, Chile, China, Ethiopia, Finland, France, Germany, Ireland, Italy, Kenya, Kyrgyzstan, Mexico, the Philippines, Portugal, the Republic of Korea, South Africa, Spain, Sri Lanka, Thailand, the United Kingdom of Great Britain and Northern Ireland and the United States of America.

7. The Board of the Institute met in Geneva on 10 and 11 November 2009 and 22 and 23 June 2010.

8. In order to implement its research projects, the Institute must mobilize its own funding. It receives no money from the United Nations general budget and is funded exclusively by voluntary contributions from Member States, research foundations, United Nations agencies and other institutions.

9. The Institute entered 2010 facing critical financial constraints due to a reduction in funding from its largest core donor. This, combined with the withdrawal of a core donor and increased competition for project support in the current environment, means that the Institute faces an ongoing threat to its financial viability.

10. Short-term measures enabled the Institute to stabilize the situation for 2010, albeit at a significantly reduced level of funding. Cost-cutting measures were taken, including the loss of two staff positions (three were already vacant), reduced staff travel and fewer junior researchers and visiting fellows. As a result, capacity for new project development and research dissemination activities has been curtailed. Even with the cuts that it has made, the Institute has had to draw on reserves during 2010, and the situation is not sustainable beyond 2011.

11. The Director has worked closely with existing donors and an ad hoc working group of Board members to address the situation. The Institute also convened a donor meeting on 23 March 2010.

12. The core funding received by the Institute for 2009 amounted to $3,285,711 and has been estimated at $2,927,358 for 2010. A comparison of the core funding for 2009 with that for 2008 reflects a decrease of $396,397, and it is expected that there will be a further decrease of $358,353 in 2010 as compared with 2009. The core income represents voluntary contributions made by seven Governments in 2009 and 2010.

13. The largest contributors to core funds were Sweden and the United Kingdom, which had made three-year pledges. New agreements are currently under negotiation with those two Governments. A three-year agreement was concluded with the Government of South Africa in 2009. Annual contributions to core funds were received from Denmark, Finland, Mexico, South Africa and Switzerland. Although Switzerland made a contribution in 2009, it informed the Institute early in 2010 that it would not continue to do so in 2010.

14. During the reporting period, project-specific contributions were received from the European Community, the International Development Research Centre, the Swiss Agency for Development and Cooperation, the Heinrich Böll Foundation, the Institute for Futures Studies and Fundación Carolina. The level of such funding was $40,767 in 2009, while the funding pledged and due to be received in 2010 was $67,279. These lower amounts compared with 2008 reflect the project funding cycle, with many projects ending in 2009.

15. Consolidated figures presented in the table below indicate that total Institute funding (excluding miscellaneous income) for 2010 has been estimated at $2,994,637, which represents a decrease of 10 per cent in respect of 2009 and 35 per cent in respect of 2008.

United Nations Research Institute for Social Development funding, 2008-2010

(United States dollars)

	2008	*2009*	*2010*[a]
Core	3 682 108	3 285 711	2 927 358
Project	893 944	40 767	67 279
Total	**4 576 052**	**3 326 478**	**2 994 637**

[a] Estimate.

III. Research and related activities

16. Research concluded in several projects under the programme areas for the period 2005-2009: social policy and development; markets, business and regulation; gender and development; civil society and social movements; and the flagship project, poverty reduction and policy regimes. A number of special events and activities were also implemented.

A. Social policy and development

17. In 2009-2010, the social policy and development programme comprised four research projects in the latter phases of research, publication and dissemination activities.

1. Financing social policy in mineral-rich countries

18. The first project, which forms part of a broader inquiry into the various possibilities for mobilizing resources for financing social policies begun in 2006, focused on countries rich in natural resources. Some mineral-rich developing countries succeed in channelling their resources into sustainable economic and social policies, while others are less successful in that regard. The research, carried out between 2008 and 2010, identified factors that prevent resource-rich countries in the South from investing more of their wealth in social development, and highlighted ways that mineral rents can open the fiscal space for transformative social policies, while at the same time promoting democracy, social inclusion and economic development. One programme paper and an issue of *Conference News* were published. Eight papers commissioned under the project will be published in an edited volume in 2011.

2. Pension funds and economic development

19. While pension funds are often aimed at ensuring social security, they can also be used for redistributive and productive purposes. In a number of countries, social funds (pension, health and unemployment insurance funds) have been an important source of financing for investment.

20. The research under the second project, carried out between 2007 and 2010, examined the challenges relating to the management of such funds in the contexts of weak administrative capacity and macroeconomic instability; how pension schemes tackle the problems of independent and informal sector workers; how decentralized

private funds or mixed models compare with public funds; the influence of donors and other external actors with regard to pension reform in developing countries; and the impact of different kinds of pension systems on social cohesion, equity and redistribution. The output of the research will be published in an edited volume in 2011.

3. Social policy and migration in developing countries

21. The third project was carried out between 2007 and 2009. By establishing the links between South-South migration, social development and social policy in developing countries, it complemented work undertaken by other bodies of the United Nations system. The research showed how the impact of migration on development goes beyond the financial contribution made by migrants to their home countries. The impact also includes social and political "remittances" in terms of transfer of knowledge, skills and ideas, changing gender and family roles (especially independent female and child migration), and the political mobilization of migrants in receiving and sending countries. The evidence shows that migration needs to be considered an integral part of social policymaking, and vice versa, in order to foster synergies with regard to development, equity, social integration and the well-being of migrants and their families. Stronger regional partnerships and increased cooperation among Governments and non-governmental organizations are also necessary to address social issues by means of policies that not only span borders and peoples, but also promote social equity and solidarity. Findings were published in three programme papers in 2009 and in an edited volume in 2010.

4. Social policies in small States

22. The country and thematic studies carried out under the fourth project examined social policy issues facing small States and their implications for economic development. They showed how, despite their inherent vulnerability, some small States have been successful in improving their social indicators by means of the complementary social and economic policies they have implemented.

23. Research findings informed a high-level regional conference on social policies in Pacific island countries, held in Fiji in July 2009, as well as the meeting of Commonwealth Secretariat Heads of Government held in November 2009. The first two studies were published in 2010 in a joint Institute/Commonwealth Secretariat series, and the remaining papers will be issued in 2011. The Institute published one of the studies as a programme paper.

5. Results

24. Research by the Institute on social policy and development has informed a number of policy debates. The development implications of the financial and economic crisis and the role of social policy were the subject of presentations to the Swiss Network for International Stu 'ies in March 2009, the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) in June 2009 and the ninth session of the Intergovernmental Council of the Management of Social Transformations programme, held at the United Nations Educational, Scientific and Cultural Organization (UNESCO) in September 2009.

25. A book entitled *Financing Social Policy: Mobilizing Resources for Social Development* was presented at the International Foundation for Science (IFS),

Stockholm, as part of a series of lectures organized by IFS, the Nordic Africa Institute (NAI) and Stockholm University, in September 2009.

26. Insights gained from research on social protection and poverty were presented at the Arab Forum on Social Policy, organized by the Economic and Social Commission for Western Asia (ESCWA) in Beirut in October 2009, and at an expert group meeting on social integration, held in Accra in November 2009 and organized by the Department of Economic and Social Affairs of the Secretariat with a view to the preparation of a draft resolution by the Commission for Social Development on promoting social integration (adopted in February 2010).

27. An international policy conference on global and national strategies for poverty reduction, organized by the BK21 programme of the Graduate School of Public Administration, Seoul National University, and the Institute, was held in September 2009.

B. Markets, business and regulation

28. Business-State relations and the role of transnational corporations in social development have undergone profound changes in recent decades, with profound implications for social well-being, equity and democratic governance. Such issues have been researched under this programme.

29. Two projects were concluding in 2009-2010: one on business regulation, non-State actors and development and the other on organized business and social policy.

1. Business regulation, non-State actors and development

30. This project assesses the effectiveness of standards-based initiatives driven by non-State actors to regulate business activities. Contributions were enlisted from 35 researchers for a volume that focuses on the potential and limits of this approach from the perspective of effective regulation and developing countries, addressing both the conceptual and the empirical dimensions. These relate to the changing nature of business regulation under conditions of contemporary capitalism; the political economy and institutional determinants of regulation that is conducive to inclusive development; and the experience and outcomes of specific regulatory initiatives with regard to which business and civil society organizations have assumed a leading role in terms of development and implementation.

2. Organized business and social policy

31. This project examined business engagement in poverty reduction and social development and the increasing capacity of organized business interests to influence public policy and development agendas. The research findings highlighted four key limitations of the contemporary "corporate social responsibility" agenda: analysis tends to be (a) ahistorical, ignoring lessons from the past that explain corporate responsibility; (b) empirically weak, failing to examine developmental impacts; (c) theoretically thin, drawing selectively on certain bodies of knowledge and ignoring others; and (d) apolitical, often ignoring the types of social forces, coalitions and alliances that are needed to redress imbalances in State-business-society relations. The research was published in two volumes during the biennium.

3. Results

32. Research undertaken by the Institute between 2005 and 2009 on corporate social responsibility, public-private partnerships and "private regulation" found that awareness of the social and environmental responsibilities of business had expanded rapidly and that there had been a proliferation of instruments and initiatives to promote corporate social responsibility and engage business in poverty reduction. Too often, however, rhetoric tends to outpace reality. The research findings suggested the need to go beyond voluntary approaches by focusing on "corporate accountability", which implies that corporations should not only answer to their stakeholders but also incur some sort of penalty in cases of non-compliance and that there should be effective grievance procedures and remedy. On invitation, the Institute presented this work and recommendations at academic institutions in the Netherlands, the United Kingdom, the United States and Spain; and contributed to expert groups convened by the United Nations Conference on Trade and Development (UNCTAD) in preparation for the *World Investment Report 2009* and *World Investment Report 2010*, and to the fourth Regional Development and Governance Symposium, organized by the Economic Policy Research Foundation of Turkey.

C. Civil society and social movements

33. Research under this programme explored the ways in which social movements and civil society organizations mobilize to voice their concerns and influence policy processes in an era of globalization and liberalization. The majority of the work had been concluded by 2008. Activities during the current reporting period related to publishing and disseminating research results.

Social responses to inequalities and policy changes

34. This project sought to examine the extent to which, and the ways in which, civil society actors that organize and mobilize in the context of issues related to global justice influence public policy in selected European countries. The project examined contemporary forms of advocacy and campaigns in France, Italy and the United Kingdom centred on debt relief, aid policy, international taxation, trade justice and corporate accountability.

35. Two programme papers were published in 2009. The final output of the research will be published in an edited volume in 2011.

D. Gender and development

36. In recent decades, the presence of women in public life has increased, whether in politics, in the workforce or in the migrant streams that cross international borders. Yet gender inequalities in terms of power remain a persistent feature of the modern world and its institutions — in markets, macroeconomic flows and social policy programmes; States, political parties and social movements; and the intimate sphere of the family, the household and the community.

37. The two projects under this programme area — *political and social economy of care*; and *religion, politics and gender equality* — were in the final publication and dissemination phases in 2009-2010.

1. Political and social economy of care

38. This project, carried out between 2007 and 2009, explored the implications of various care arrangements for those who provide care (on a paid or unpaid basis) in terms of poverty and access to social rights. Care work, both paid and unpaid, contributes to well-being, social development and economic growth. But evidence shows that the costs of providing care are unequally borne across gender and class. Families remain the key institution in meeting care needs. The policy challenge is to support them, recognize the rights of caregivers and the recipients of care, distribute the costs more evenly across society, and support professional, decently paid and compassionate forms of care.

39. Comparative research findings were assembled in four volumes; two were published in 2010 and two will be published in 2011. Five individual country studies will be published in the countries of research. Six programme papers were issued during the reporting period. A research and policy brief and an issue of *Conference News* were also published.

Results

40. Throughout the duration of the project, the Institute collaborated closely with the Division for the Advancement of Women and the Gender Team of the United Nations Development Programme (UNDP). The project was very timely, as it coincided with the preparations for and the holding of the fifty-third session of the Commission on the Status of Women in 2009, whose priority theme was the equal sharing of responsibilities between women and men, including caregiving in the context of HIV/AIDS.

41. The Institute participated in the Expert Group Meeting organized with the purpose of contributing to the debates on the priority theme and assisting the Commission in its deliberations. The Institute's background paper fed directly into the report of the Secretary-General (E/CN.6/2009/2) as well as the 2009 *World Survey on the Role of Women in Development*.[1]

42. The Institute was represented at the fifty-third session of the Commission, where the project's findings were presented at an official side event chaired by the Assistant Secretary-General for Economic Development, as well as at panels organized by the Division for the Advancement of Women and UNDP.

43. The Institute organized a one-day public conference at Barnard College, Columbia University, New York, in March 2009. The research provided the foundation for the 2009 Women in Development Europe annual conference (June 2009). National research teams presented their findings at a conference organized by the Institute of Social Studies Trust and the United Nations Children's Fund-India (December 2009). The Institute was invited to present the findings at the Swiss Agency for Development and Cooperation (May 2009); the Amsterdam School for

[1] *World Survey on the Role of Women in Development: Women's Control over Economic Resources and Access to Financial Resources, including Microfinance* (United Nations publication, Sales No. E.09.IV.7).

Social Science Research (November 2009); and the Institute for the Study of the Americas (December 2009).

44. Building on the findings resulting from the research on care, the Institute convened a workshop in December 2010 to explore the politics of gender-egalitarian policy change (in the arena of social policy and more broadly) and help design a new research project on when and why States respond to claims-making by women.

2. Religion, politics and gender equality

45. This project was carried out between 2007 and 2010. Comparative research was undertaken on the interaction of religion and politics in selected national settings and the implications of that nexus for gender equality and feminist politics.

46. During the reporting period, research findings were being assembled in two volumes; one was published in 2010 and one will be published in 2011. Three programme papers were issued.

Results

47. The Institute has worked closely with both the United Nations Development Fund for Women (Central and Eastern Europe Office) and the United Nations Population Fund in carrying out the project.

48. A public conference on the project was held at the Heinrich Böll Foundation, Berlin, in June 2009. It attracted researchers, policy actors and activists working in the area of religion and gender equality.

49. The Institute was invited to disseminate the research findings via openDemocracy, an independent global current affairs website dedicated to promoting human rights and democracy through dialogue and debate. Jointly with the Heinrich Böll Foundation, the Association for Women's Rights in Development (AWID), the Humanist Institute for Development Cooperation (HIVOS) and the University for Humanist Studies, the Institute is leading an online forum and debate on the theme entitled "Religion Gender Politics: prospects for equality and pluralism".

3. Work, informality and the search for security in a changing world

50. There is increasing concern worldwide about the informalization of work and its implications for poverty and well-being. Employment that is increasingly informal cannot pull households out of poverty. Work-related rights and benefits are lacking in informal jobs, excluding millions of men and women from social protection and thus trapping them in insecurity and poverty.

51. The mainstream anti-poverty and social protection agenda has tended to focus on extending social assistance to particular "vulnerable groups" (children, the elderly, people with disabilities) who are unable to participate in paid work. Many of the new social protection programmes direct their financial transfers (and the responsibilities associated with them) to women, in their capacity as mothers or household managers. At the same time, gender is one of the most pervasive dimensions within which labour markets, and work more broadly, are embedded. The relationship between employment/work rights and social rights can therefore be usefully explored through a gender lens.

52. The Institute commissioned two background papers in 2010. Funding is being sought for cross-country comparative research that would explore the connections between social protection programmes targeted at women and the changing nature of labour markets.

IV. Special events and activities

Social and political dimensions of the global crisis

53. In response to the multiple crises that hit the global economy in 2008, the Institute convened an international conference on the theme "Social and political dimensions of the global crisis: implications for developing countries". An open call for papers generated 330 responses, 24 of which were selected for presentation. The event was held in Geneva on 12 and 13 November 2009, and attracted more than 150 participants from all sectors, including United Nations agencies, Government and donor representatives, and scholars from at least 14 countries. Presentations provided rich empirical detail about the impacts of the crisis in a range of countries and on different social groups, and stimulated debate around neglected aspects of the crisis and the types of policy changes needed to address them, as well as the potential for an alternative development paradigm rather than a return to "business as usual".

54. A summary of the conference discussions and debates, highlighting key policy issues, was posted on the Institute website in December 2009, and an issue of *Conference News* was published in 2010. Conference findings were presented at the Friedrich-Ebert-Stiftung and at the Novartis Foundation Symposium in November 2009. The Institute produced a series of five podcasts featuring extracts and commentary from the event. An edited volume, provisionally entitled *The Global Crisis and Transformative Social Change*, will be published in 2011.

Combating poverty and inequality: structural change, social policy and politics

55. The Institute published its flagship report, *Combating Poverty and Inequality: Structural Change, Social Policy and Politics*, on the eve of the High-level Plenary Meeting of the sixty-fifth session of the General Assembly on the Millennium Development Goals, held in September 2010. It represented the culmination of a wide-ranging inquiry into the dynamics of poverty reduction carried out between 2006 and 2010 that entailed nearly 20 in-depth case studies and country surveys, more than 40 specially commissioned background papers, and research across all Institute programmes.

56. Institute research engaged with current policy debates on poverty and inequality from a developmental and social policy perspective. It assessed a range of contemporary approaches to poverty reduction, identified key institutional, policy and political issues that were not being addressed in current poverty reduction strategies and examined the contradictions, complementarities and synergies among the various components of "policy regimes", including social, labour market and macroeconomic policies, and political and regulatory institutions.

57. The report highlighted three crucial elements of a sustainable and inclusive development strategy: sustained growth and structural change that create jobs and improved earnings for the vast majority of people; comprehensive social policies that are grounded in universal rights; and civic activism and political arrangements that ensure that States are responsive to the needs of all citizens.

Dissemination of the report

58. The launch of the report was a joint event with the United Nations Office at Geneva and took place on 3 September 2010. Distinguished speakers included the Director-General of the United Nations Office at Geneva, the Deputy High Commissioner for Human Rights, the Assistant Secretary-General for Economic Development, the Coordinator of the South Centre's Global Governance for Development Programme, and the holder of the Chair in African Development at the London School of Economics. The event attracted over 150 attendees from the international policy community, civil society and academia.

59. In the three months following the launch, the report was presented at 16 events in 13 countries in Africa, Asia, Europe and North America. The events were organized with counterparts from the United Nations system, national Governments and academia.

60. The report attracted significant media coverage, including 40 blog postings, features and editorials in *The Hindu*, *China Daily*, the *Daily Mirror* and *Time* magazine, and is on academic reading lists in the United Kingdom and the United States. Parts of the launch at Geneva were filmed by the UNCTAD Virtual Institute and are available on its website as training and teaching resources.

61. The report Overview was published in Arabic in collaboration with the Economic and Social Commission for Western Asia and presented at a joint event in Beirut in November 2010.

62. A Chinese edition of the Overview was published in collaboration with the School of Social Development and Public Policy of Beijing Normal University. It was presented in Beijing in October 2010 at the high-level Poverty Reduction and Development Forum, and at a seminar organized by Peking University and the International Poverty Reduction Centre in China.

63. The partner organizations are ensuring wide dissemination of the Arabic and Chinese editions throughout their respective regions.

64. The Institute translated the Overview into French for use in dissemination activities in francophone countries in 2011. The Government of Mexico earmarked its 2010 contribution to the Institute's core funds for a Spanish translation of the report, to be used in presentations in Latin America and the Caribbean planned for 2011.

65. Research carried out by the Institute on poverty reduction was taken up in a number of processes, including the drafting of the *World Economic and Social Survey 2010*, which addresses policy coherence, and activities in the lead up to the High-level Plenary Meeting of the sixty-fifth session of the General Assembly on the Millennium Development Goals. Participation by the Institute in discussions in that context contributed to the emphasis placed on universal approaches to social

protection in the outcome document of the High-level Plenary Meeting, entitled "Keeping the promise: united to achieve the Millennium Development Goals".[2]

Development forum for the G-20

66. Most actions in response to the crisis have focused on stabilizing the global economy and adjusting the international financial architecture. With few exceptions, social development has been neglected, except in terms of residual mechanisms to protect the most vulnerable.

67. In response to this situation, the Institute, in partnership with Seoul National University and the Korea International Cooperation Agency, organized a series of activities designed to identify and debate critical social development issues that should inform global forums such as the G-20. Activities included a web-based discussion forum; a symposium, held in Seoul on 21 and 22 October 2010; and a televised debate among leading development thinkers, aired on the Korean Broadcasting System (domestic and world) on 9 and 10 November 2010 on the eve of the Seoul G-20 Summit.

68. Key elements of an alternative development strategy, reflecting the interests of both G-20 and non-G-20 members, were identified and elaborated through that set of activities. Particular emphasis was placed on sharing lessons drawn from the experiences of the Republic of Korea in the area of national development and its response to multiple crises. The timing and location of the symposium and the television broadcast raised awareness among policy, civil society and academic audiences of possible alternative approaches to social development that should be placed more prominently on the agenda of the G-20.

Social pensions for older people in Asia

69. The Institute was invited by the Asian Development Bank to participate in a project on social pensions for older people in Asia that aims to assess the origin, impacts and institutional models of various programmes and policies designed to establish non-contributory social pensions in Asia and to distil policy lessons for similar schemes in the region. The Institute's contribution, a paper on the political economy of old-age social protection, focuses on the main drivers, actors and various contexts that have been conducive to social pension reform in Asia. It analyses the processes leading to different policy models implemented in Asia and draws comparative lessons from the experience of similar reforms in other developing countries in Latin America and sub-Saharan Africa.

70. The contribution will be presented at a workshop in Bangkok in February 2011 and will form part of an Asian Development Bank publication on social pensions. A joint publication by the Institute and the Bank is envisaged.

[2] See resolution 65/1.

Social policy as a key to sustainable development

71. The Institute, in partnership with GTZ, organized a high-level international expert meeting on the theme "Social policy as a key to sustainable development: approaches and practical experiences" in Berlin in December 2010, with the participation of policymakers, development experts and academics. The meeting emphasized the contribution of research for the conceptual, strategic and practical work of GTZ and technical cooperation organizations more generally. Main topics of discussion were the relationship between social policy, economic development and labour markets; the role of social services for social development and gender equality; the linkages between social policy and climate change; and the role of institutions and participation.

72. The Institute prepared the background note for the meeting. It will be further developed, taking into account the results of the meeting, into a concept paper for publication with GTZ in 2011.

Democracy, social justice and economic security

73. In June 2010, the Institute was invited to join a new task force on democracy, social justice and economic security under the auspices of the American Political Science Association. The aim of the task force is to bring relevant and timely research to the attention of policymakers and the public and to promote interest in policy alternatives.

74. The task force is examining policy innovations in the areas of participatory governance, rights-based approaches to democracy and development and economic citizenship that have had (or could have) a significant transformative social impact and could be adapted for use in other contexts.

75. The task force will create an interactive website for both networking and dissemination. The work of the task force will be presented at the annual meeting of the American Political Science Association in September 2011.

V. Institutional strategy, 2010-2014

76. A major activity during the 2009-2010 biennium was the development of a new institutional strategy for the Institute for the period 2010-2014. This involved extensive consultation with stakeholders within the United Nations system, the donor community, academia and civil society, as well as the Board, in 2009 and 2010. In April 2010, with funding from the Government of Sweden, the Institute organized a staff training workshop on results-based management in order to strengthen in-house capacity to implement the strategy.

77. The institutional strategy combines the research agenda (discussed and approved by the Board in June 2010) with additional goals in the areas of communicating research results to ensure that they inform development policy and practice and securing the financial future of the Institute. The strategy forms the basis of the Institute's requests for core funding for the period 2011-2014.

78. The strategy lays out the following key objectives for the Institute for 2010-2014:

(a) **Research**. Generate policy-relevant research findings that contribute to reframing the contemporary development debate by demonstrating:

(i) How issues of social justice, equity and sustainability need to be central to development goals and policies, rather than viewed as subordinate and residual to economic policies and growth;

(ii) The critical role of social policies, and their feasibility and affordability, in contributing to sustainable and equitable development;

(iii) The politics and institutional arrangements needed for progressive social change;

(b) **Communications**. Increase the visibility of the Institute and promote the use of its research findings by stakeholders within the United Nations system, the donor community, academia and civil society in order to reframe debates and inform policy and practice;

(c) **Fund-raising**. Secure the long-term stability of the Institute through diversification and mobilization of resources for core and project activities.

Research

79. The current global context has created a new climate and sense of urgency for addressing problems of poverty, inequity and social injustice. Despite the progress made in placing social issues on the global development agenda, the current context of fiscal constraint and concern about slow growth increases the danger of a return to policies that neglect social spending and, thus, the basis for inclusion, equity, poverty reduction and, ultimately, a sustainable growth path.

80. Building on the Institute's prior research findings that broad-based social policies and particular forms of inclusive politics have been critical to the achievement of equitable and sustainable development trajectories, the new research agenda will explore the role that social policies play in generating sustainable growth with equity in the twenty-first century development context; how these can be extended and financed, including in conditions of informality and State fragility and to marginalized groups such as migrants; and the politics and institutional arrangements needed for progressive social change.

81. The research agenda is framed around two main themes: social policies for inclusive and sustainable development; and politics and institutional dynamics of social development.

82. Other research-related activities and special events are planned, including on gender equity and women's empowerment, and climate change as a social development issue, as well as to commemorate the fiftieth anniversary of the Institute, in 2013.

Social policies for inclusive and sustainable development

83. Responses to recent crises risk once again marginalizing social issues in the context of the growth-focused development agenda. Institute research has

consistently focused on the uneven impacts of development processes (such as globalization), policies (such as structural adjustments) and events (such as crises). It has demonstrated that social policies provide a critical mechanism by which societies can achieve more equitable, poverty-reducing and sustainable growth paths.

84. New research will further explore the complex links between economic and social institutions, policies and outcomes, investigating how policies that protect the vulnerable, reduce inequalities and poverty, ensure social reproduction and contribute to the productivity of labour can be made a central component of mainstream development policies at the international and national levels.

85. The Institute is currently seeking funds to initiate research or expand ongoing work on the following topics:

(a) Social policies and informal employment, including gender aspects;

(b) South-south migration, including gender aspects;

(c) Social policies and regional governance;

(d) Financing social policies in times of crisis;

(e) Financing social policy in mineral-rich economies;

(f) Universalizing social service provision;

(g) Alternative strategies for economic and social development in large emerging economies;

(h) Social economy approaches to inclusive and sustainable development.

Politics and the institutional dynamics of social development

86. Research under this theme will examine the politics and processes through which State and non-State actors can deliver improved welfare outcomes to citizens, including the question of how resources are mobilized and allocated for developmental outcomes. What are the possibilities for democratic States with an active citizenry and an enforceable social contract in the twenty-first century? What political processes and institutional arrangements foster positive social change?

87. Prior research demonstrates that social development requires effective and accountable States, the institutionalization of rights, sustained public engagement and types of policies that empower the poor or marginalized groups to exercise influence in how policies are made and resources allocated. Policy reforms for effective States with progressive social agendas and an active citizenry remain disappointing, often ignoring structural factors that reproduce inequalities in power relations, or neglecting informal kinds of mobilization and citizen action.

88. The Institute is currently seeking funds to initiate research or expand ongoing work on the following topics:

(a) The politics of resource mobilization for social development;

(b) Participatory institutions, empowerment and policy change;

(c) Understanding gender-egalitarian policy change;

(d) Market regulation and accountability for social development.

Communications

89. The Institute has a unique position at the interface of international organizations, civil society and the academic community; it works in collaboration with an extensive global network of researchers and institutions; and it retains significant convening power. Through its communications strategy, it aims to capitalize on these advantages to ensure that its research findings inform development debates, policies and practice. Between January and March 2011, the Institute will undertake a strategic assessment and define new directions for its communications strategy to be implemented from 2011 to 2014. The outcome will be an innovative and creative approach to the use of varied communication outputs and channels appropriate for different audiences. These could include (but would not be limited to) more systematic inclusion of communications strategies throughout all projects, in collaboration with local researchers and advocacy groups; improved branding of Institute outputs; an upgraded web platform; and partnerships (where appropriate) with knowledge intermediaries. Activities will be carefully budgeted for to ensure affordability and sustainability in relation to other institutional objectives.

Fund-raising

90. Against the backdrop of the critical financial situation faced by the Institute in 2010, it has prioritized the development and implementation of a resource mobilization strategy aimed at increasing and diversifying its funding sources. This will include working more closely with selected United Nations agencies; identifying new or non-traditional donors; stabilizing and, where possible, increasing funds from existing donors; and creating new partnerships with research institutions to facilitate access to other sources of research funding (such as through research councils). Other measures necessary to improve the financial sustainability of the Institute will be explored as part of the 2011-2014 strategy.

VI. Outreach: networking, dissemination and publications

91. The Institute positions its work at the interface of the international development policy community, academia and civil society. In its networking and dissemination activities, it aims to achieve the greatest possible awareness on the part of, and availability and accessibility of its research to those diverse audiences.

92. In 2009-2010, a portfolio of publications, mechanisms and activities supported those goals. Publications included academic and commercially co-published volumes, programme papers and research and policy briefs; mechanisms ranged from the distribution of traditional printed products to Internet-based tools and CD-ROMs. Activities such as speaking engagements, consultations and dissemination events and workshops were also used to network and to communicate research results directly (and indirectly, through knowledge multipliers) to key stakeholders.

Networking

93. In March 2009, the Institute participated in a two-day meeting of the directors of the seven United Nations research and training institutes aimed at building

bridges among the institutes, increasing their visibility within the United Nations, identifying opportunities for harmonizing certain procedures, and better coordinating their primary functions to support the United Nations system. With the support of the Secretary-General, the institutes agreed to increase cooperation and to clarify certain processes and procedures to allow the institutes to better fulfil their mandates.

94. The Institute undertakes its research through networks of scholars throughout the world. Many scholars are brought into these networks through short-term collaborations on specific projects. Researchers from the South, in particular, appreciate the access this affords them to wider research (including South-South) and United Nations networks; activities such as methodology workshops and comparative studies which expose young researchers to new methods and debates; and a platform for promoting work on the global stage and, in particular, within the United Nations system.

95. The Institute regularly engages with relevant United Nations processes, disseminating its work through participation in United Nations activities and events and through relations with United Nations bodies, specialized agencies and regional commissions. Staff members also respond to requests from multilateral and bilateral organizations, Governments, non-governmental organizations, research institutes and universities. In 2009-2010, Institute staff responded to more than 100 invitations to carry out advisory and consultancy activities.

96. Research and dissemination staff also regularly present the Institute and its work to visiting groups of students. Its work was showcased at the first Global Model United Nations Conference during a panel discussion and knowledge fair held in August 2009. This was a valuable opportunity to reach out to more than 500 university students from around the world participating in the conference, whose theme was "The Millennium Development Goals: lifting the bottom billion out of poverty".

97. In 2010, the Institute intensified its web presence via Web 2.0 and social networking sites, and the number of people following the Institute's work via those sites grew significantly. In this connection, the Institute produced 20 podcasts and videos during the reporting period. They are accessible from the Institute website, i-Tunes and the Institute's YouTube channel. As part of its communications assessment and strategy, the Institute will be considering future options for the use of social media for research communication and engagement with certain audiences.

Dissemination

98. The Institute is disseminating an increasing volume of material via its website (www.unrisd.org). *UNRISD News* was relaunched as a quarterly electronic bulletin in June 2010; three were issued during the year. Users downloaded more than 301,669 PDF documents and publications in 2009 and 358,267 between January and October 2010. Statistics showed a continued positive trend in the number of unique visitors to the website, with an average of 41,000 per month in 2009 and nearly 53,000 per month in 2010. The number of subscribers to the myUNRISD facility, by means of which users receive e-mail alerts and download publications, continued to grow, reaching 39,000 in October 2010. Geographically, 8 of the top 20 visitor countries to the website were in the South.

99. In 2009-2010, the Institute also disseminated 25,000 copies of its publications and CD-ROMs free of charge at more than 100 events. Approximately 56 per cent of the events were held in developing countries, with approximately 42 per cent being held by or with other United Nations entities.

Publications

100. The Institute issued 51 publications in 2009-2010, including 12 books/journal special issues and 22 programme papers. It also issued two CD-ROMs containing catalogue information and full text (PDF) of all in-house publications. These are distributed free of charge in order to increase the availability and accessibility of the Institute's publications. The books, reports, research and policy briefs, programme papers, newsletters and CD-ROMs issued by the Institute are set out below.

Books

Shahra Razavi and Silke Staab, eds. *Underpaid and Overworked: A Cross-National Perspective on Care Workers. Special issue of International Labour Review*, vol. 149, No. 4, December 2010.

Anne Jenichen and Shahra Razavi, eds. *The Unhappy Marriage of Religion and Politics: Problems and Pitfalls for Gender Equality*. Special issue of *Third World Quarterly*, vol. 31, No. 6, 2010.

Jane Jenson. *Defining and Measuring Social Cohesion*. Commonwealth Secretariat and UNRISD, 2010.

Katja Hujo and Nicola Piper. *South-South Migration: Implications for Social Policy and Development*. UNRISD/Palgrave Macmillan, 2010.

Debbie Budlender, ed. *Time Use Studies and Unpaid Care Work*. Routledge/UNRISD Research in Gender and Development, 2010.

José Carlos Marques and Peter Utting, eds. *Business, Politics and Public Policy: Implications for Inclusive Development*. UNRISD/Palgrave Macmillan, 2010.

José Carlos Marques and Peter Utting, eds. *Corporate Social Responsibility and Regulatory Governance: Towards Inclusive Development?*. UNRISD/Palgrave Macmillan, 2010.

Katja Hujo and Shea McClanahan, eds. *Financing Social Policy: Mobilizing Resources for Social Development*. UNRISD/Palgrave Macmillan, 2009.

Nora McKeon. *The United Nations and Civil Society: Legitimating Global Governance — Whose Voice?* UNRISD/Zed Books, 2009.

Teresa S. Encarnacion Tadem, ed. *Localizing and Transnationalizing Contentious Politics: Global Civil Society Movements in the Philippines*. UNRISD/Lexington Books, 2009.

Huck-ju Kwon, Thandika Mkandawire and Joakim Palme, eds. *Social Policy and Economic Development in Late Industrializers: UNRISD Research Findings, International Journal of Social Welfare*, vol. 18, Supplement 1. Blackwell Publishing, 2009.

Shahra Razavi, ed. *The Gendered Impacts of Liberalization: Towards "Embedded Liberalism"?*. Routledge/UNRISD Research in Gender and Development, 2009.

Reports

United Nations Research Institute for Social Development (2010). *Combating Poverty and Inequality: Structural Change, Social Policy and Politics*. Sales No. E.10.III.Y.1.

United Nations Research Institute for Social Development (2010). *Combating Poverty and Inequality: Structural Change, Social Policy and Politics* (Overview).

United Nations Research Institute for Social Development, in partnership with the Economic and Social Commission for Western Asia (2010). *Combating Poverty and Inequality: Structural Change, Social Policy and Politics* (Overview) (Arabic edition).

United Nations Research Institute for Social Development, in partnership with Beijing Normal University (2010). *Combating Poverty and Inequality: Structural Change, Social Policy and Politics* (Overview) (Chinese edition).

Research and policy briefs

RPB 10s: "La lucha contra la pobreza y la desigualdad". December 2010.

RPB 10f: "Combattre la pauvreté et les inégalités". November 2010.

RPB 10e: "Combating poverty and inequality". May 2010.

RPB 9s: "Cuál es la importancia del cuidado para el desarrollo social". May 2010.

RPB 9f: "Pourquoi les soins sont importants pour le développement social". April 2010.

RPB 9e: "Why care matters for social development". February 2010.

RPB 8s: "Respuestas comunitarias al VIH y el SIDA". December 2009.

RPB 8f: "Ripostes communautaires au VIH et au sida". December 2009.

RPB 8e: "Community Responses to HIV and AIDS". September 2009.

Programme papers

Civil society and social movements

PP-CSSM-32: Anthony Bebbington, "Social movements and poverty in developing countries". October 2010 (E-paper).

PP-CSSM-31: Jem Bendell and Annekathrin Ellersiek, "Noble networks? Advocacy for global justice and the 'network effect'". February 2009.

Democracy, governance and well-being

PP-DGWB-1: Thandika Mkandawire, "Institutional monocropping and monotasking in Africa". July 2009.

Gender and development

PP-GD-13: Fiona Williams, "Claiming and framing in the making of care policies: the recognition and redistribution of care". November 2010.

PP-GD-12: Anna C. Korteweg and Gökçe Yurdakul, "Religion, culture and the politicization of honour-related violence: a critical analysis of media and policy debates in Western Europe and North America". October 2010.

PP-GD-11: Mariz Tadros, "Faith-based organizations and service delivery: some gender conundrums". September 2010.

PP-GD-10: Silke Staab and Roberto Gerhard, "Childcare service expansion in Chile and Mexico: for women or children or both?". June 2010.

PP-GD-9: Aya Abe, "The changing shape of the care diamond: the case of child and elderly care in Japan". June 2010.

PP-GD-8: Juliana Martínez Franzoni, with Carmen Largaespada-Fredersdorff, "The political and social economy of care in Nicaragua: familialism of care under an exclusionary social policy regime". February 2010.

PP-GD-7: Kate Bedford, "Harmonizing global care policy? Care and the Commission on the Status of Women". February 2010.

PP-GD-6: Ito Peng, "The political and social economy of care in the Republic of Korea". October 2009.

PP-GD-5: José Casanova and Anne Phillips, "A debate on the public role of religion and its social and gender implications". September 2009.

Markets, business and regulation

PP-MBR-7: Manuel Mejido Costoya, Peter Utting and Gloria Carrión, "The changing coordinates of trade and power in Latin America: implications for policy space and policy coherence". May 2010.

PP-MBR-6: Michel Capron, "De la Françafrique à la responsabilité sociale des entreprises: les dynamiques entre les firmes, l'Etat et les mouvements sociaux en France". November 2009.

PP-MBR-5: Gloria Carrión, "Trade, regionalism and the politics of policymaking in Nicaragua". June 2009.

Social policy and development

PP-SPD-45: Godfrey Baldacchino, "The power of jurisdiction in promoting social policies in small States" (e-paper). 2010 (forthcoming).

PP-SPD-44: Leonith Hinojosa, Anthony Bebbington and Tony Addison, "Social policy and State revenues in mineral-rich contexts". September 2010.

PP-SPD-43: Mary Njeri Kinyanjui, "Social relations and associations in the informal sector in Kenya" (e-paper). January 2010.

PP-SPD-42: Armando Barrientos, "Social protection and poverty" (e-paper). January 2010.

PP-SPD-41: Eleonore Kofman and Parvati Raghuram, "The implications of migration for gender and care regimes in the South". July 2009.

PP-SPD-40: Arjan de Haan and Shahin Yaqub, "Migration and poverty: linkages, knowledge gaps and policy implications". June 2009.

PP-SPD-39: Nicola Piper, "Migration and social development: organizational and political dimensions". May 2009.

Newsletters

CN 25: "Social and political dimensions of the global crisis: implications for developing countries". Report of the UNRISD conference (Geneva, 12 and 13 November 2009). April 2010.

CN 24: "The political and social economy of care". Report of the UNRISD conference (Barnard College, Columbia University, New York, 6 March 2009). September 2009.

CN 23: "Social policy in mineral-rich countries". Report of the UNRISD workshop (Geneva, 24 and 25 April 2008). September 2009.

CD-ROMs

Combating Poverty and Inequality: Structural Change, Social Policy and Politics. 2010.

UNRISD Library 2008-2009. 2010.